

DEPARTMENT OF THE ARMY
Omaha District, Corps of Engineers
1612 U.S. Post Office and Courthouse
Omaha, Nebraska 68102-4978

DR 690-1-335
Change 4

MROPO-R

Regulation
No. 690-1-335, Change 4

1 July 1986

Civilian Personnel
MERIT PROMOTION AND PLACEMENT PLAN

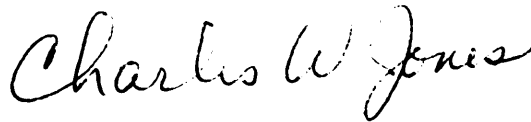
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Updates the regulation to include new regulatory material.

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DR 690-1-335
Change 3

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1 April 1985

Civilian Personnel
MERIT PROMOTION AND PLACEMENT PLAN

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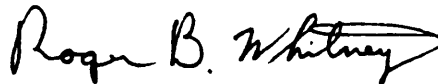
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No. 690-1-335, Change 2

31 December 1984

Civilian Personnel
MERIT PROMOTION AND PLACEMENT PLAN

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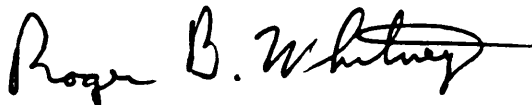
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DR 690-1-335
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Civilian Personnel
MERIT PROMOTION AND PLACEMENT PLAN

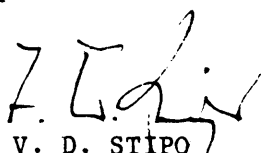
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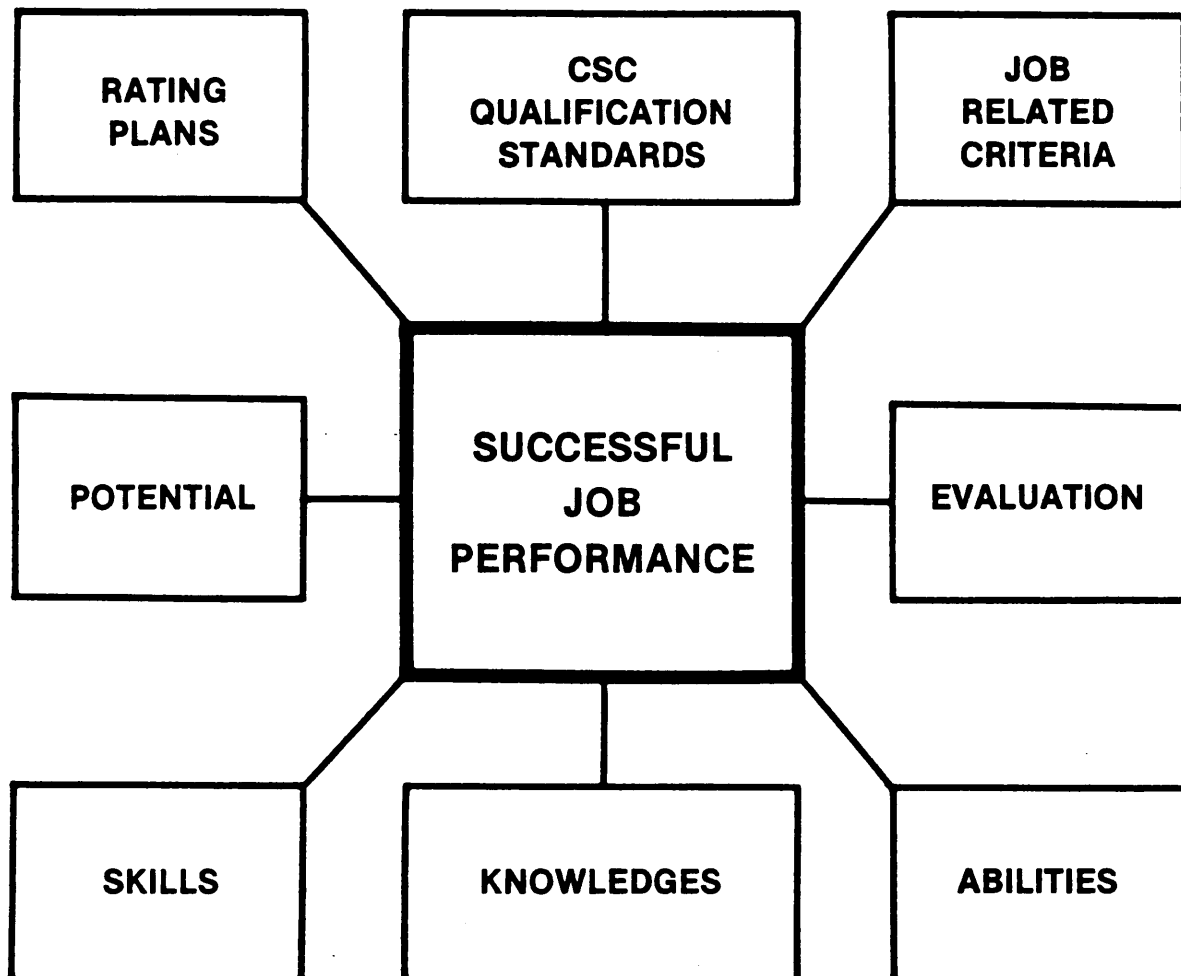
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CIVILIAN PERSONNEL

MERIT PROMOTION & PLACEMENT PROGRAM



DEPARTMENT OF THE ARMY
OMAHA DISTRICT, CORPS OF ENGINEERS

DR 690-1-335

CIVILIAN PERSONNEL
MERIT PROMOTION AND PLACEMENT PLAN

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Regulation
No. 690-1-335

1 March 1982

Civilian Personnel
MERIT PROMOTION AND PLACEMENT PLAN

CHAPTER 1. GENERAL PROVISIONS

1-1. Purpose. The purposes of the Merit Promotion and Placement Plan are to insure that positions are filled with the best qualified applicants and to promote equal opportunity for employees to compete for advancement within the Omaha District and serviced organizations. This Plan complies with the merit placement requirements set forth by the U.S. Office of Personnel Management and instructions published by higher headquarters. In addition, this Plan reflects the views, recommendations, and contributions of managers, employees, and employee representatives of the District.

* 1-2. Applicability. This regulation is applicable to all employees of the Omaha District; Missouri River Division Office; U. S. Army Recruiting Battalion, Omaha, Nebraska; U. S. Army Recruiting Battalion, Des Moines, Iowa; Cornhusker Army Ammunition Plant, Grand Island, Nebraska; and Defense Mapping Agency Depository, Omaha, Nebraska. *

1-3. Policy. It is the policy of this District that:

a. All competitive service positions will be filled solely on the basis of merit, as prescribed in law and regulations.

b. All employees covered by this Plan will be provided maximum opportunity to compete for promotion opportunities but will not be guaranteed promotion.

c. Positive action will be taken by management to identify and eliminate any unnecessary barriers to equal employment opportunity.

d. Affirmative action will be taken to assure that local recruitment efforts are reaching all potential employment sources, including qualified handicapped, minority, and female applicants.

e. All actions taken under this Plan, whether identification, qualification, evaluation or selection of candidates, shall be made without regard to political, religious, or labor organization affiliation or nonaffiliation,

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marital status, race, color, sex, national origin, nondisqualifying physical handicap, or age, and shall be based solely on job-related criteria.

1-4. Program Information. The Freedom of Information Act and the Privacy Act impact significantly on the collection, use, and availability of data essential to operations under this Plan. The Personnel Officer, with the advice and assistance of the Office of Counsel, will establish such procedures and make such determinations as are required to assure that all actions under the Plan conform to the above laws. Any question that arises regarding compliance will be referred to the Personnel Officer.

CHAPTER 2. COVERAGE

2-1. General Application. This Plan applies to all supervisory and non-supervisory competitive service General Schedule (GS) and Wage Grade (WG) positions and to GS-12 or above attorney positions in the excepted services of the Omaha District and serviced activities with the following special provisions:

a. Career Management Program. Positions identified as mandatory command, Department of the Army, or Department of Defense wide referral levels (see Appendix A) are filled under the provisions of appropriate regulations for Civilian Career Management Programs.

b. Senior Executive Service. Positions in the Senior Executive Service (SES) are not filled under this Plan.

c. Statutory/Regulatory/Administrative Placement. Unless otherwise specified herein, placements required by laws, regulation, or the directive of a higher authority will be filled as provided in this Plan and appropriate regulations (see para 5-1a).

d. Temporary Positions Affording Promotion Opportunity. A position that is required to be staffed on a temporary basis, the duration of which is expected to extend beyond 120 days and which provides promotional opportunity for permanent employees, will be filled under the competitive procedures of this Plan (see also para 4-1c).

e. Placement by "Reassignment." Placement by "reassignment" to a position which does not afford an employee either immediate promotion or promotion potential above that which is afforded by the employee's current position may be accomplished without regard to the competitive procedures of this Plan.

*
*
f. Management Directed or Initiated Reassignments. In certain management initiated reassignments, particularly those involving a major change in duties, a change in supervisory relationships, or a change in organizational or geographical location, the employee may have valid reasons for not wishing to accept the assignment. Accordingly, whenever the employee fails to voluntarily consent to such an assignment, the individual must be given an advance notice setting forth the reasons for the proposed reassignment, including the reasons why the employee was selected, and the employee must be provided with an opportunity to reply. Moreover, any action proposed must be for such cause that will promote the efficiency of the service. The advance notice must be signed by either the appropriate supervisor, the appointing officer, or some individual designated to act for the appointing officer. Following consideration of the employee's reply, or in case no reply is received,

a notice of decision will be issued. If the decision rendered is to affect the reassignment, the notice must also state the effective date. The notice of decision must be signed by either the appointing officer or some individual designated to act for the appointing officer. (Refer to CPR 752-1.S1.3a(4) for guidance regarding removal for failure to accept a new assignment.)

*

*

g. Placement by "Change to Lower Grade." Placement by "Change to lower grade" to a position that does not afford an employee either immediate or known potential promotion will not be subject to this Plan. These actions will be processed under procedures set forth in a separate local regulation. It should be noted that this procedure will produce noncompetitive candidates who are seeking change to lower grade at their own request and pay should be established accordingly.

2-2. Temporary Employees. Temporary employees should request advice from the servicing personnel office regarding opportunities for permanent competitive employment. Those not possessing personal competitive status based on former Federal or other qualifying employment must be "within reach" on an appropriate U.S. Office of Personnel Management register before being eligible for merit placement consideration under this Plan.

2-3. Excepted Service Employees. Employees serving in competitive positions in an excepted appointment status (e.g., Vietnam Era Veterans (VRA), mentally retarded, severely handicapped individuals, and Cooperative Education students) may apply for positions in which they are interested and will be considered to the extent permitted by the authority of their appointment (FPM 301 and FPM 307.1-7). Otherwise, the provisions of paragraph 2-2 above will apply.

2-4. Negotiated Agreements. Where the provisions of local negotiated agreements are different from the provisions of this Plan, the negotiated provisions will take precedence.

2-5. Other Appointments. This Plan provides for Management's right to select from other appropriate sources, such as reemployment priority lists, reinstatement, transfer, handicapped or Veterans Readjustment eligibles or those within reach on an appropriate U. S. Office of Personnel Management Certificate.

2-6. Regulations of Higher Authorities. Where this Plan is silent regarding certain aspects of the Merit Placement Program, the provisions in regulations of higher authorities will apply.

CHAPTER 3. RESPONSIBILITIES

3-1. Responsibilities. The accomplishment of a positive merit promotion and placement program requires action in which the operating officials, employees and Personnel Office have their definite responsibilities.

a. The Commander/Appointing Officer is responsible for establishing and directing the administration of promotion plans for positions for which he/she has delegated appointing authority.

b. Operating Officials and Supervisors having authority for selection and/or supervision of employees are responsible for the following:

* (1) Furnish the Personnel Office with accurate and timely information about personnel requirements, personnel who are available for reassignments, and other matters which have personnel implications. This includes informing the Personnel Office of the need to expand the area of consideration to that which would likely provide minority and/or women candidates when the position to be filled has been targeted in the Affirmative Action Plan as under-represented. *

(2) Participate in the orientation of new employees.

(3) Make vacancy announcements available to employees and keep them informed of long-term career advancement.

(4) File an application for any employee who is absent during the open period of a Merit Promotion and Placement Announcement providing the employee has informed their supervisor in writing to make an application (DF 78) on their behalf for specific positions which may be announced during their absence on leave or temporary duty.

(5) Interview and make selection of employees certified on Referral and Selection Register, DA Form 2600.

(6) Selective Placement and Evaluation Criteria. NOTE: Failure to complete a supervisory appraisal or furnish other information on an employee who has applied for a specific position could result in the initiation of a grievance by the affected employee.

c. Employees are Responsible For:

(1) Applying for vacancies in which they are interested and for which they are reasonably certain that they are qualified by filing a DF 78 in duplicate with the Personnel Office.

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(2) Keeping their Official Personnel File up to date with current qualifications, experience, self-development and training. Such qualifications not on record in the Personnel Office prior to the closing dates of the vacancy announcements will not be considered.

(3) Informing their supervisor in writing to make an application (DF 78) on their behalf for specific positions which may be announced during their absence on leave or temporary duty.

(4) Reviewing official bulletin boards to be aware of promotional opportunities.

d. The Personnel Office, Recruitment and Placement Branch will be responsible for:

(1) Publication and distribution of this Plan and publication and distribution of all vacancy announcements.

(2) Generally supervising, coordinating and administering the Merit Promotion and Placement Program to insure maximum effectiveness and maintenance of necessary records.

(3) Determining with supervisors any special rating standards which may apply.

(4) Determining employee qualifications and eligibility for promotion and for applying the evaluation and ranking criteria provided for in this Plan.

(5) Issuing Referral and Selection Register, DA Form 2600 to supervisors making selection and informing employees of selection or non-selections.

CHAPTER 4. PLACEMENT PROCEDURES

* 4-1. Competitive Actions. The competitive procedures outlined in Chapters 4 through 9 of this Plan apply to the filling of positions by promotion except as otherwise indicated in paragraph 4-2 below. They also apply to the following types of merit placement actions: *

a. Reassignment or Demotion to a position with known promotion potential.

b. Reassignments at the Employee's Request to positions with known promotion potential above current grade or to positions with a greater promotion potential than current position.

c. Temporary Promotion or a Detail to either a higher grade position or one with known promotion potential must be accomplished under the competitive procedures of this Plan if the selected employee will have had more than the permitted number of days, 120 days for a detail and 120 days for a temporary promotion, in higher grade/known promotion potential positions in the previous 12 months (counting the time in the proposed assignment). The minimum length of time to effect a temporary promotion is 30 days. Also see Appendix B.

* d. All Appointments, Reinstatements, or Transfers to vacancies that provide promotion or promotion potential above the candidate's highest grade held in a nontemporary position in the competitive service. *

e. Selection for Training that is required for promotion.

f. Filling Positions Permanently that have been Temporarily Occupied by Detail to a Higher Grade or by Temporary Promotion. Competitive procedures will apply unless the detail or temporary promotion was made initially under competitive procedures, the normal area of consideration was used, and the fact that it might lead to permanent promotion was made known to all potential candidates.

g. Filling Positions that have been reconstituted in a Higher Grade Because of the Accretion of Additional Duties and Responsibilities. Placement actions will be competitive except in the situation described in paragraph 4-2d(2) below.

h. Filling Supervisory Positions. All promotions and reassignments from nonsupervisory to supervisory positions will be made under the competitive provisions of this Plan. Reassignments from nonsupervisory to supervisory positions having no greater promotion potential than current position may be reassigned on a noncompetitive basis provided the employee has been evaluated and recommended by a panel convened to assess the employee's potential for supervisory positions. Any placement by detail or temporary

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promotion will be made in full accordance with applicable provisions of this Plan as described in paragraph 4-1c on the preceding page.

4-2. Required Noncompetitive Actions. The following placement actions will be accomplished without regard to the competitive procedures of this Plan. The justification for use of the provisions will be fully documented on the SF 52 processed in each case.

a. Promotion of an Incumbent Resulting From the Upgrading of a Position without significant change in duties and responsibilities due to issuance of new or revised classification standard or the correction of a classification error will be made, providing the employee meets the legal and qualification requirements for the higher grade position. If the incumbent is not promoted, he/she must be removed from that position through appropriate adverse action procedures.

b. Special Consideration for Repromotion. Employees who are repromotion eligibles will be accorded special noncompetitive consideration before regular competitive candidates are referred, as shown in Appendix C.

(1) Repromotion of Employees in the Area of Consideration, Previously Demoted Without Personal Cause and not at Their Request while in Defense activities, will be provided special consideration for repromotion to a grade no higher than that from which demoted or to any intervening grade. Personal cause means misconduct or inefficiency. There is no guarantee of repromotion as a result of this special consideration.

(2) A selecting official considering employees under this provision may select any employee referred. The official may decide to not make a selection for repromotion, but only after considering all qualified repromotion eligibles. If, however, one or more of these eligibles later is referred among the best qualified under competitive procedures for the same position, the official must state for the record his/her reasons for not selecting each eligible if no repromotion eligible on the competitive list is selected.

(3) The official will be advised of any factors used to rank repromotion eligibles, should there be more who qualify than the number referred (see para 7-4).

(4) Repromotion entitlement also extends to employees covered by this Plan who were separated by reduction in force from any "Defense" activity and later reemployed at a lower grade level in Army. Entitlement also applies to these employees who resigned or were separated after declining transfer of function, or after receiving a general notice of reduction in force from any Defense activity and were later reemployed at a lower grade level in Army.

(5) Repromotion eligibility ceases after 2 years from effective date of the demotion or the date an individual is repromoted to the highest grade level to which he/she is entitled whichever occurs first. (Employees who met the requirements for repromotion under regulations superseded by this regulation will retain their entitlement until 31 May 1983.)

(6) Employees who accepted a change to a lower grade to enter formal development or upward mobility programs will not be accorded special consideration for repromotion while they are taking part in the program. They may be accorded special consideration for repromotion should they leave the development program without having attained their former grade; or through a change to lower grade, and under circumstances not involving removal for personal cause.

c. Failure to Receive Proper Consideration. Employees who did not receive proper consideration in a previous promotion action will be accorded special noncompetitive consideration before regular competitive candidates are referred as shown in Appendix C.

(1) If it is determined either that an employee was improperly denied inclusion on a selection roster, i.e., referral from among the best-qualified candidates, in a placement action under this Plan, or was not selected solely because of non-merit factors, and the erroneous selection is allowed to stand under authority provided in U.S. Office of Personnel Management regulations, the employee will be accorded one special, automatic consideration for the "next appropriate" vacancy to make up for the consideration lost. The "next appropriate" vacancy is the next vacancy that arises for which the employee has expressed an interest and for which the employee is rated at least highly qualified. Referral for any vacancy for which the employee is "qualified but not highly qualified" would be a deterrent to bona fide selection consideration by supervisors and would not assure the same level of consideration that was lost.

(2) As in special consideration for repromotion, the selecting official is not required to select any employee referred under this provision.

(3) In the event that there are eligibles in both the above special consideration categories for the same vacancy, the repromotion eligibles will be considered ahead of those who had not received proper consideration for competitive promotion.

d. "Career Promotions."

(1) Competitive procedures will not apply when making the authorized "career promotions" listed below. "Career promotions" are made without

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new competition when the incumbent of a position was selected competitively at an earlier stage and the intention to prepare the selectee for the grade level now being filled was made a matter of record. Promotion of an employee under these provisions will be made after documented performance and qualifications data indicate that the employee has demonstrated he/she is performing the higher grade duties and responsibilities successfully. Merely meeting the time-in-grade requirements for the higher grade is not an automatic guarantee that the employee possesses sufficient knowledge, skill, and ability to perform successfully at the higher level. The justification for use of "career promotions" and fulfillment of qualitative requirements will be documented fully on the SF 52. "Career promotion" is authorized in the following situations (see App D for discussion):

- (a) Career Ladder Positions.
- (b) Apprentice Positions.
- (c) Trainee, Upward Mobility and Career Intern Positions.
- (d) Understudy Positions.
- (e) Positions filled at a grade below the established or anticipated grade.
- (f) Employees under USOPM training or executive development agreement.
- (g) Employees detailed for training or evaluation.

(2) A noncompetitive career promotion of any employee whose position has been reclassified to a higher grade or to a position with a higher representative rate because of the addition of duties and responsibilities may be made when it is determined that open competition is not warranted. All of the circumstances listed in paragraph D-3 of Appendix D must be met in order to except the promotion from competitive procedures.

(3) An employee who is appointed under an excepted appointing authority identified in paragraphs e, f, g and h below) which provides for non-competitive conversion to career or career-conditional appointment may also be given a non-competitive career promotion either prior to or after conversion to career or career-condition provided the position was established with a higher target grade.

e. Non-competitive conversion of Co-op students may be accomplished in accordance with provisions of FPM 308.

f. Non-competitive conversion of severely handicapped and mentally retarded individuals may be accomplished in accordance with provisions of FPM 306.

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* g. Non-competitive conversion of eligible veterans with 30 percent disability who are employed under a temporary appointment authority may be accomplished in accordance with provision of FPM 315.7.

h. Non-competitive conversion of eligible veterans under the provisions of the Veterans Readjustment Appointment Authority in accordance with provisions of FPM 307 or appropriate Executive Orders or other authorities. *

CHAPTER 5. LOCATING CANDIDATES

5-1. Filling Positions - Noncompetitive.

a. Mandatory Placement. The types of mandatory placement actions listed below will be accomplished without regard to the competitive provisions of this Plan. If a vacancy arises for which a registrant in any of these programs is qualified and available, that registrant will be given priority consideration in the order shown in Appendix C.

(1) Placement of individuals having statutory, regulatory, or administrative reemployment or restoration rights, or to whom a like employment obligation exists (i.e., employees returning from military service, employees returning from overseas assignments, reemployment of former employees separated by reduction in force whose names appear on the Reemployment Priority List, and return of employees from mobility assignments under the Intergovernmental Personnel Act).

(2) Placement actions required in connection with Reduction in Force.

(3) Placement of Priority 1, 2, and 3 employees entitled to mandatory placement consideration under the provisions of the DOD Stability of Civilian Employment Program.

(4) Placement or promotion of an individual directed by the U.S. Office of Personnel Management or other higher authority in order to correct violations of established law, policy, or regulations.

b. Mandatory Consideration. Employees who have been or are about to be declared surplus because of abolishment of their positions will receive mandatory consideration for filling vacancies for positions for which they qualify, at or below their current grade level.

c. Special Consideration. See paragraphs 4-2b and c for discussion of entitlement and Appendix C for the order of consideration.

d. Use of Any Source. The Plan provides for management's right to select from any applicant source, i.e., reemployment priority lists, reinstatement of transfer eligibles, handicapped individuals, or veterans eligible for appointment under special appointing authorities or from the U.S. Office of Personnel Management registers.

5-2. Filling Positions - Competitive.

- * a. For all vacancies occurring in the Omaha District and serviced activities, that are to be filled by competitive procedures, the minimum area of consideration will be the Omaha District and serviced activities, which include the following: The Missouri River Division Office; U.S. Army Recruiting Battalion, Omaha, Nebraska, and Des Moines, Iowa; Cornhusker Army *

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* Ammunition Plant, Grand Island, Nebraska; and Defense Mapping Agency Depository, Omaha, Nebraska. In recruiting for vacancies in the Missouri River Division, the Kansas City District will be included in the minimum area of consideration. *

b. Any current Army employee in the competitive service (outside the minimum area of consideration) may submit a voluntary application at any time for consideration for promotion or for any position with potential for promotion to a grade higher than currently held.

c. When it is known in advance of recruitment for a specific vacancy that the minimum area of consideration will produce fewer than three (3) highly-qualified candidates, including minority or female candidates, the minimum area of consideration may be expanded. The decision to expand the area of consideration and the extent to which it will be expanded to meet affirmative action goals will be made by the Omaha District Personnel Office based on past recruitment experience.

d. Any current Federal employee in the competitive service (outside the minimum area of consideration) or reinstatement eligible may submit an application at any time for consideration for a position filled under the provisions of the Plan. Such an application will receive consideration for vacancies for which candidate is qualified and for which an interest is expressed provided a decision was made to expand the minimum area of consideration and the application is received no later than the closing date of a specific vacancy announcement.

e. Acceptance of applications from candidates outside the minimum area of consideration does not assure consideration for a specific position; or if the area of consideration is extended, it does not assure inclusion in the best-qualified group for referral.

5-3. Methods of Locating Candidates.

a. Vacancy Announcements. Vacancy announcements will be used in competitive actions to locate candidates for all positions covered by this Plan, including career management occupation positions below mandatory referral levels. Vacancies will be advertised and remain open at least 14 calendar days for receipt of applications. "Open continuous" announcements will be used whenever past experience shows there is long-term recurrent need to fill certain positions having exactly the same qualification requirements and job-related criteria. Employees may file applications at any time that open continuous announcements remain in effect. Their applications will be rated and the names of those candidates rated as "highly qualified" will be placed on rosters for further consideration and ranking as specific vacancies occur. All vacancy announcements will be distributed to all organizations within the area of consideration and will be posted on all official bulletin boards. Each merit promotion vacancy announcement will contain the following basic information about the position:

- (1) Title, series, grade, and short description of duties.
- (2) Organizational and geographical location of the position.
- (3) Summary of or reference to minimum qualification standards for basic eligibility.
- (4) List of any selective placement factors, e.g., frequent travel, unusual working conditions, hours, etc., determined essential to satisfactory performance. (Justification for the use of any selective placement factors will be maintained with the promotion records.)
- (5) Summary of job-related criteria factors to be used in determining which eligible candidates are "highly qualified."
- (6) Rating and ranking methods to be used.
- (7) If appropriate, information regarding known promotion potential of the positions, to assure that all applicants are aware of subsequent "career promotion" possibilities.
- (8) The minimum area of consideration.
- (9) Opening and closing dates and how to apply.
- (10) Statement about equal employment opportunity.

b. Army-wide Announcements. The Army-wide Announcement Program, prescribed by higher headquarters, will be followed when advertising positions on an Army-wide basis.

c. Supervisory Referrals. Supervisors will submit the names of employees for consideration only when the employees are absent for official reason, such as detail, approved leave, TDY, temporary assignment under the Intergovernmental Personnel Act, or service with a public international organization. The employees must have advised their supervisors in writing of the types of vacancies for which application should be filed in their behalf. The Personnel Office will assure that employees engaged in active military duty receive automatic consideration for promotion opportunities.

d. Paid Advertising. It may become necessary to engage in such practices as making field visits to nearby schools or paying for advertisements in order to provide an adequate supply of qualified candidates for selection consideration. The provisions of FPM Chapter 332, CPR 332 and ER 690-1-332 will be followed in using paid advertising as a supplemental recruitment method.

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* e. Applicant Supply File. The Personnel Office will maintain a current skills file by title, series, and grade levels as a source to fill all potential vacancies within the Omaha District and serviced activities. Applications will be accepted on a continuous basis from individuals who have transfer or reinstatement eligibility or who are eligible for appointment under special appointing authorities. *

CHAPTER 6. CANDIDATE EVALUATION

6-1. General. It is essential that all competitive service positions at this installation will be filled on the basis of merit and fitness. To this end, all candidates for placement under this Plan will be evaluated solely on their current levels of knowledges, skills, and abilities (KSA) for the job to be filled and on their potential to progress when the job being filled actually leads to further advancement. All candidates will be evaluated against the same qualification standards and job-related criteria and, as nearly as possible, by the same methods.

6-2. Applicability. The three phases that comprise the candidate evaluation process, Determining Basic Eligibility, Rating and Ranking, are described in paragraphs 6-3 through 6-7 below and Phases 2 and 3 are depicted in Appendix E. The evaluation process will apply as follows:

a. For all placement/promotion actions (competitive and noncompetitive), Phase 1 (para 6-3) must be completed for all prospective candidates.

b. For all competitive actions under paragraph 4-1 of this Plan, Phases 2 and 3 also will be completed.

c. For noncompetitive actions under paragraph 4-2 of this Plan, the following will apply:

(1) When a position is upgraded due to a new classification standard or to correct a classification error, Phase 2 will be applied only if the supervisor proposes not to upgrade the incumbent. The result of the Phase 2 will provide justification for/against the supervisor's proposed action.

(2) Phases 2 and 3 may be applied in special repromotion consideration. Phase 2 will be applied only if there are more than ten qualified repromotion eligibles for a specific vacancy or if requested by the selecting official to assist him/her in making a selection decision. Phase 3 will be applied only if there are more than ten "highly qualified" repromotion eligibles. Separation of employees eligible for repromotion consideration into groups to establish an order of referral to a selecting official does not affect the requirement that repromotion eligibles must be referred to the selecting official until one has been selected or all have been considered.

(3) Phase 2 will be applied before providing special consideration to an employee who failed to receive proper consideration in a previous competitive promotion action.

* d. EXCEPTION: Phases 2 and 3 are not required when there are 10 or fewer competitive candidates. All 10 or fewer candidates who are determined *

* to be high quality may be referred as the best qualified without assigning scores. High quality candidates are those who, in the rater's judgment, possess the Knowledge, Skills, and Abilities (KSA's) identified by a job analysis. The comments column of MRD Form 0933 (Internal Merit Staffing Ranking Sheet) will be used to document whether or not the candidate possesses each of the KSA's by inserting "met" or "not met." If a candidate possesses a majority of the KSA's identified for the position, the candidate will be rated as a high quality candidate. If a selection is not made under this exception and the area of consideration is expanded which results in more than 10 competitive candidates, candidates will be rated and ranked under provisions of Phases 2 and 3.

*

6-3. The Candidate Evaluation Process. Phase 1 - Determining Basic Eligibility. In this step, the information available on all candidates must be compared to, first, the U.S. Office of Personnel Management's Qualification Standards; and, second, "Selective Placement Factors," if any, determined to be essential to minimally satisfactory job performance. Normally, this process will be conducted by the assigned Personnel Office specialist.

a. Qualification Standards. The USOPM Handbook X-118 Standards constitute the minimum qualification requirements for positions filled under this Plan. Every candidate who meets or exceeds the applicable minimum standard is considered basically eligible for the position. Any candidate who does not meet the minimum requirements is ineligible/not qualified for further consideration for any position covered by the standards. The U.S. Office of Personnel Management's minimum standards for GS positions are contained in USOPM Handbook X-118. The U.S. Office of Personnel Management's minimum standards for all Wage Grade (WG, WL, and WS) positions are contained in USOPM Handbook X-118C. Copies of these handbooks are maintained on file in the Personnel Office and are available for review by all employees of this installation. When local vacancy announcements are issued to locate candidates for competitive placement and/or promotion, the announcements either will include a summary of the applicable minimum standards to be used or identify it specifically for employee reference purposes.

b. Selective Placement Factors. In some instances, a particular job or job environment will necessitate an additional basic, or minimum, qualification requirement that must be met if minimum satisfactory performance is to result. For example, in some jobs the incumbents will be able to perform the required duties and responsibilities only if they are fluent in a language other than English or willing to travel by airplane. These additional, absolutely essential requirements are referred to as "selective placement factors." There must be documented justification on file of their relationship to the actual duties of the specific job to be filled. When "selective placement factors" are identified and are approved as essential by the Personnel Office, the factors become part of the minimum requirements for basic eligibility. Candidates who do not meet the established selective placement factors will be ineligible for the specific position.

6-4. Candidate Evaluation. Phase 2 - Rating - To Determine Highly Qualified. In this step, all candidates determined to be eligible/qualified for the position are evaluated further to identify those who are also "highly qualified," that is, those candidates who are determined to be capable of superior (highly successful) performance in the job to be filled. This process is referred to as "rating." The requirement to further evaluate (or "rate") eligible candidates is based on the merit principle that selecting officials are entitled to a choice from among highly-qualified candidates whenever possible. Candidates who are "eligible/qualified" but not highly qualified" may not be referred under competitive procedures unless all reasonable areas of search, inside and outside Army, have been exhausted without obtaining any highly-qualified candidates.

a. Job Related Criteria. The "rating" process is based on a comparison of the "eligible" candidates' qualifications against a set of "job related criteria" that have been predetermined for the specific job or type of job to be filled. These "job related criteria" go beyond the minimum standards for "eligibility" and are expressed in terms of the specific knowledges, skills, and abilities (KSA's) that both (1) must be brought to the job and (2) if possessed to a high degree will distinguish the likely superior (highly successful) performers from those who are likely to be only adequate (or merely satisfactory).

b. Job Analysis. The job related criteria will be identified through actual analysis or study of the job duties and responsibilities. The job analysis as well as the criteria developed may cover a single position, a group of positions, or related occupations having common characteristics and no critical differences in duties and responsibilities.

(1) Job analysis at this installation will be a cooperative effort involving managers and technically qualified specialists in the occupation of the position to be filled. A Personnel Staffing Specialist will provide assistance and monitor job analysis sessions. In some instances, the supervisor of the vacancy may be the only locally available subject matter specialist in the occupation who is at a grade level equal to or above that of the vacancy. He/she may be called upon to participate in job analysis along with the Personnel Office representatives.

(2) For Wage Grade positions to be filled under the Job Qualification System for Trades and Labor Occupations, the job analysis will serve two purposes. First, it will identify which of the U.S. Office of Personnel Management "approved" standard KSA elements in USOPM Handbook X-118C must be applied in determining basic eligibility. This will include identification and description of the (2 point) level or amount of each knowledge, skill, or ability element that is required for eligibility. Second, it will identify which of those and other "approved" elements, if any, also distinguish between the successful and highly successful performers and should be used in

"rating" to determine highly-qualified candidates. Additional KSA factors (such as certain of the specific subelements that make up the broad standard elements) also may be used in determining highly-qualified candidates if job analysis indicates they are important in distinguishing the highly successful performers.

(3) For General Schedule positions, job analysis will be concerned primarily with identifying KSA's that will distinguish highly successful performers.

(4) All available information relevant to the job requirements will be reviewed. The critical job duties and the KSA related to performance of those duties will be outlined and recorded. In addition, there will be documentation to reflect the decisions as to which of the KSA must both be brought to the job and will distinguish the highly successful performers.

c. The Crediting Plan.

(1) The levels of the KSA's identified as distinguishing the highly successful performers become the job-related criteria. The criteria are incorporated into a document called a "Crediting Plan." The Crediting Plan will be used to improve the consistency and objectivity of the rating process. Crediting Plans for both General Schedule and Wage Grade jobs will list each of the KSA elements or factors that comprise the job-related criteria for the job(s) covered and will include a description of the four levels of each. Crediting Plans for Wage Grade jobs will have an additional section for "Basic Eligibility," listing the set of "approved" standard job elements and describing both the 2 points (barely acceptable) and 1 point (weak but of some value) levels for each element.

(a) Once developed, a crediting plan for a specific job or for specific types of similar jobs becomes a permanent guide for raters to use in evaluating candidates for those jobs. Each crediting plan, however, will be reviewed for adequacy each time it is proposed to cover another job under that plan as well as each time before the plan is used in the rating process.

(b) If a job has unique duties or responsibilities that will require evaluation of a knowledge, skill, or ability not already included in the existing crediting plan, the plan must be adjusted for that particular job or a separate crediting plan must be developed. The decision to adjust an existing crediting plan or establish a new plan must be documented in the required placement/promotion records.

d. Measurement Tools. In determining which eligible candidates are highly qualified, "measurement tools" provide evidence of the present amount of KSA's possessed by candidates. At least the first two tools listed below will be used in all Phase 2 rating; others will be used when appropriate and required by the applicable crediting plan.

(1) Training and Experience (TRAEX) Rating Guide. The training and experience rating guide will be developed for each job covered by established crediting plans. The training and experience rating guide is designed to rate demonstrated exposure and level of possession by candidates for KSA's that are appropriately measured by this tool.

* (2) Supervisory Appraisal. A Supervisory Appraisal of the current level of candidates' KSA's is no longer required. The current Performance Appraisal will be used as a screenout to determine basic eligibility. Only those candidates who have a rating of at least "fully successful" on their current Performance Appraisal will be given initial consideration for promotion. When a candidate does not have a current Performance Appraisal, a fully successful rating may be presumed as long as there is no known adverse performance information. The Supervisory Performance may be reviewed to make determination of level of possession of a specific KSA which can only be measured by Supervisory Appraisal. The Supervisory Performance Appraisal will be also be forwarded for review by the selecting official during the selection process. *

(3) Structured Interviews. Interviews will be used for positions only when job analysis determines that an interview is an effective instrument for measuring one or more of the KSA's in the job-related criteria. If any candidates outside the commuting area are not available for on-site interview, the Personnel Office will arrange for the administration of the structured interview by an Army activity in the candidate's commuting area. If this is not feasible, the candidate will be interviewed by telephone and/or asked to submit a supplementary written questionnaire response. Prospective interviewers will be provided training by the Personnel Office, which also will assure compliance with Privacy Act provisions.

(4) Written Tests. Only those written tests required and/or approved by the U.S. Office of Personnel Management or the Department of the Army will be used. When written tests are used at this installation, scores will be obtained for all candidates. For the "rating" process, test scores will not be used on a pass/fail basis but will be treated only as one source of information to be considered with others prior to making final rating decisions.

(5) Performance Tests that test one or more critical performance factors in the job-related criteria will be used when available and determined by the staffing specialist or raters to be both necessary and cost-effective.

(6) Assessment Centers make judgments about the degree to which individuals possess the knowledge and ability requirements identified for particular supervisory/managerial positions. This tool will not be used at the present time at this installation.

e. Information Sources. In evaluating "eligible" candidates against the job-related criteria described in established crediting plans, raters will consider all applicable information sources listed below:

- * (1) Application Form. All candidates will be required to file an SF 171 (Personal Qualification Statement) or other appropriate application form. The application form will be used to determine the level of tasks a candidate has been exposed to in their current or previous jobs. *
- * (2) Candidate Supplemental Questionnaire. In addition to the SF 171 or other appropriate application forms, a candidate may elect, at their option, to provide additional information with respect to their experience, education, training, self-development, awards, and official recognition as they relate to the specific KSA's identified for the position. The application form and any supplemental information provided by the candidate will comprise the Training and Experience (TRAEX) Rating Guide. *
- * (3) Supervisory Appraisal. A Supervisory Appraisal of the current level of candidates' KSA's is no longer required. The current Performance Appraisal will be used as a screenout to determine basic eligibility. Only those candidates who have a rating of at least "fully successful" on their current Performance Appraisal will be given initial consideration for promotion. When a candidate does not have a current Performance Appraisal, a fully successful rating may be presumed as long as there is no known adverse performance information. The Supervisory Performance may be reviewed to make determination of level of possession of a specific KSA which can only be measured by Supervisory Appraisal. The Supervisory Performance Appraisal will be also be forwarded for review by the selecting official during the selection process. *
- (4) Structured Interview. A structured interview will be used to rate interpersonal traits that cannot be measured effectively by other devices.

f. Rating Method. In rating candidates for position vacancies under this Plan, the "point rating" method will be used. Under the "point rating" method, the individual KSA scores determine the final rating, that is, whether the candidate is/is not at least "highly qualified." A Crediting Plan will require that to be "highly qualified" for the specific position covered a candidate must score at least an average of 3 points on all of the KSA's in the job-related criteria. (See App E for the local job element guide.)

6-5. Candidate Evaluation. Phase 3 - Ranking - To Determine the Best Qualified. The third phase in the candidate evaluation process involves the comparison of the "highly-qualified" candidates with each other to determine if there are any further qualitative distinctions among the highly qualified. Those who clearly stand out above the rest of the "highly qualified" are the "best qualified." This phase is commonly referred to as "ranking."

a. "Ranking" Principles. The requirement to rank candidates is based on the merit principles that the selecting official is entitled to a reasonable choice from among the best of the highly-qualified candidates but should not be burdened with numerous candidates to consider. In addition, Civilian Personnel Regulations require that this "ranking" distinction be made to assure that all candidates referred to a selecting official as the best qualified are substantially equal in level of qualifications for the job to be filled. If certain highly-qualified candidates clearly stand out above the rest of the highly-qualified, only the standouts can be referred for the vacancy as the "best qualified." If no further distinctions can be made, all will be considered "best qualified." Ranking will be done in all cases where there are two or more highly-qualified candidates.

b. Ranking Methods. The "point ranking" method will be used for ranking purposes at this installation. The "point ranking" method is an extension of the point-rating method, but requires that a point level above the "highly qualifying" level can be described and be shown to reflect significantly better qualifications, i.e., a 4 point level where 3 points is the "highly qualifying" level. The same total score used in Phase 2 to determine that a candidate was highly qualified, is carried over to Phase 3 to determine how the candidate's total score further compares, i.e., ranks, with the total scores of the other highly qualified. This comparison will be done by either:

(1) Identifying any obvious or clear breaks in the scores of the highly-qualified candidates that will serve as a "cutoff" for the "best qualified group;" or

(2) Establishing, by a predetermined formula, a specified range from the top scoring highly-qualified candidate(s), within which all scorers will be considered "substantially equal" and among the best qualified. The formula to be used is " $R=1/2E$," that is, the range (R) will equal one-half the number of KSA's that are established for the position. (If there are 6 KSA's, the range would be three (3); that is, the best-qualified group would include only those candidates who had total scores of 24, 23 and 22 if the top score achieved by any candidate was 24.)

6-6. Rating/Ranking Procedures.

a. Multiple Raters (Panels).

(1) More than one person may be selected to do the rating and ranking of candidates under competitive procedures. At this installation, multiple raters, i.e., panels, will be used to rate and rank candidates when filling all supervisor positions. A single rater panel may be used, particularly when there is only a limited number of specialists available locally in the occupation of the position to be filled. When panels are used, one

member will be designated as chairperson and delegated the final responsibility for the panel decisions. Whenever possible, panels will consist of at least three members to provide fuller representation of qualifications, and to facilitate the breaking of any tie votes that otherwise might lead to impasses (i.e., no decision) concerning candidates' qualifications. The rating panels will include qualified minority group members and/or women whenever possible.

(2) Normally both the rating and ranking of candidates for a specific vacancy will be done by the same rater(s). In situations in which "open continuous announcements" are used to locate candidates for positions with identical criteria, standing rosters of "highly qualified" candidates may be developed by one rater or rating panel to be used as individual vacancies develop.

(3) A structured interview or evaluation panel (selection advisory group) may be used by the selecting official to seek advice or recommendations from subordinate supervisors or other employees at or above the level of the position to be filled (See paragraph 8-2b.)

b. Rater Qualifications.

(1) For all supervisory positions requiring competition, raters must occupy positions which are (organizationally or by grade) at least equal to the position to be filled and must be thoroughly familiar with the kind and level of responsibilities involved.

(2) For all other positions, the rater(s) will occupy a position at a level no lower than that of the position being filled and will be capable of making informed decisions regarding criteria and qualifications in the occupational field.

(3) Whenever subject matter specialists familiar with the occupation of the position to be filled are used as raters, Personnel Staffing Specialists will serve as advisors regarding merit principles and requirements, provide the necessary training in candidate evaluation methods, and monitor the rating/ranking process to assure conformance with merit requirements.

(4) A prospective selecting official will not participate in rating/ranking for his/her vacancies, unless that official is the only person in the work force who meets the rater qualifications requirements of (1) and (2) above. When a selecting official is used as a rater, the Personnel Staffing Specialist will assure that the rating criteria established and the rating/ranking decisions made are related to the actual job duties and responsibilities and are not designed to favor or provide preferential treatment to any candidate(s).

(5) Nonsupervisory personnel may be raters or members on rating panels, provided they meet the requirements in (1) or (2) above.

- * c. Documentation. The minutes of all rating/ranking sessions will be documented and retained as part of the required placement/promotion records. The Personnel Staffing Specialist will assure that documentation is made and clearly describes the basis for the decisions made. In addition, documentation will include a completed copy of the MRD Form 0933 reflecting for each candidate the data obtained from each of the information sources, scores on individual KSA elements, and the resulting final scores or categories assigned by the rater(s). When there are 10 or fewer competitive candidates who meet basic eligibility requirements, who have a current performance rating of at least fully successful and who have been determined to be a high quality candidate (possesses a majority of the KSA's), the MRD Form 0933 will be documented and signed by the Personnel Staffing Specialist to indicate the final rating or judgment on each candidate. When the candidate meets all three of the above listed criteria, a statement will be added to the bottom of the form which reads: I certify that this candidate is evaluated to be "High Quality" or "Not High Quality." The form will be signed and dated by the rater. *

6-7. Tie Breaking Factor. When substantive distinctions cannot be made among a larger number of candidates than can be referred to a selecting official the following tie breaking factors will be applied in the sequential order shown:

a. Length of specified experience at the next lower grade or above or other employment. (Use Specialized experience first. Use General experience only if tie cannot be broken with Specialized experience or if no Specialized experience is required.) For General Schedule positions, Specialized and General experience as defined in USOPM Handbook X-118 will be used; for Wage Grade positions, experience in the Job Grading Standard series of the positions will be used.

b. Length of Federal Service as reflected in candidates' Service Computation Dates. (This factor will be applied only if factor a. has not reduced the best-qualified candidates to an acceptable number for referral.)

6-8. Protection Against Compromise. Since candidates having knowledge of crediting plans, scoring keys, and other evaluation materials would have an unfair advantage in placement consideration, all candidate evaluation materials not specifically identified for use and/or access to candidates are treated as if they were FOR OFFICIAL USE ONLY and are available only to staffing specialists in the Personnel Office and to those officially responsible for program or placement reviews, such as U.S. Office of Personnel Management survey teams, grievance examiners, and arbitrators. Raters and selecting

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officials will be furnished only such data and materials as are required to perform their functions. Any person subject to this placement plan who divulges such information, except to those entitled to it, will be subject to appropriate disciplinary action.

6-9. Restricted Practices. The following occurrence will lead to suspension of the competitive action in process and require notification of all candidates under consideration before action is continued or a new action is initiated.

a. Changes in basic qualification requirements of job-related criteria after recruitment action has begun, e.g., vacancy announcement published.

b. Last minute additions to referral listings of best-qualified candidates unless fully justifiable.

c. Reappraisals of candidates to change initial ratings or requests for a candidate to provide additional information for the same purpose.

d. Compromise of evaluation information.

e. Discovery of candidates eligible for noncompetitive consideration after competitive procedures have been initiated.

f. Manpower or funding restrictions imposed before the selecting official has committed the final discretionary act of selecting a candidate.

g. Increases or reductions in the number of positions to be filled, when such changes affect the conditions under which the current placement action is being taken.

h. Discovery that a procedural, regulatory, or program violation has been committed.

CHAPTER 7. REFERRAL

7-1. General.

a. A reasonable number of the best-qualified candidates will be referred to the selecting official on DA 2600, Referral and Selection Register. The number will be determined by considering such factors as affirmative action goals, size and nature of the applicant pool, and ability of management to review the number of candidates in a timely and efficient manner.

b. If the minimum area of consideration has produced only one or two highly-qualified candidates, those candidates can be referred without extension of the area provided (1) they are acceptable to the selecting official, and (2) they can be expected to be among the best qualified if the area was to be extended. These same provisions will apply if the minimum area is extended and still produces only one or two highly-qualified candidates.

7-2. The Referral and Selection Register. The DA Form 2600 contains the alphabetical listing of the names of the best-qualified candidates for a specific vacancy regardless of whether the vacancy will be filled through competitive or non-competitive procedures.

7-3. Qualifications Information.

a. For positions filled under the competitive provisions of this plan, the Referral and Selection Register sent to the selecting official will be accompanied by the Candidate Supplemental Questionnaire and Supervisory Appraisal of KSA's on each of the referred candidates except for those candidates from outside the Omaha District and serviced activities for which the only additional information available to include is the Standard Form 171 or other application form and reference vouchers. The Official Personnel Files may be reviewed but only within the confines of the Personnel Office.

b. When employees are considered concurrently with candidates eligible for reinstatement or transfer, all these candidates will be rated and ranked against the same criteria and evaluated as nearly as possible by the same methods. When different methods of rating/ranking must be used for the same position, such as when candidates from outside Omaha District and serviced activities are evaluated along with the current Omaha District and serviced activities, and no additional information is available, the methods used will be documented in the placement records.

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c. For positions filled under non-competitive procedures, the Referral and Selection Register will be sent to the selecting official prior to the initiation of competitive procedures and will be accompanied by the candidates Standard Form 171 or other appropriate application form and reference vouchers as appropriate.

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d. Candidates referred from OPM registers or registers established under delegated examining authority will not be ranked against internal candidates because such a practice would restrict management's option to select from any source, and because candidates certified from OPM registers or registers established under delegated examining authority have passed required exams.

*

7-4. Special Consideration Referral.

a. The Referral and Selection Register (DA Form 2600) also will be used to provide special noncompetitive consideration under paragraphs 4-2b (Repromotion) and 4-2c (Failure to Receive Proper Consideration) of this Plan. Employees entitled to special consideration will be referred on separate selection rosters before regular competitive candidates are considered. Any candidate referred under special consideration entitlement may be selected. If there are well-qualified repromotion eligibles, they will be referred ahead of those who are not; however, all categories of repromotion eligibles will be considered for referral prior to selection of a regular competitive candidate.

b. In the event there are eligibles in both of the special consideration categories for the same vacancy, all repromotion eligibles will be considered ahead of those who failed to receive proper consideration.

CHAPTER 8. SELECTION

8-1. General.

a. If a position vacancy covered by this Plan is filled from priority, special, or competitive sources, the selecting official must fill it from the Referral and Selection Register (DA-2600). Registers will be furnished by the Personnel Office in the proper order (see App C).

b. The Referral and Selection Register, DA-2600, will also be used to refer noncompetitive applicants from appropriate sources as allowed by this Plan.

c. The selecting official is entitled to select any candidate referred to him/her on a Referral and Selection Register, DA-2600.

d. Selecting officials must write down the reason(s) for their selections on the Referral and Selection Register, DA-2600.

e. Selecting officials must base their selection(s) on one or more legitimate job-related reason(s) as to why the selectee may be expected to perform the job most successfully.

f. When the vacant position is identified in an approved AAP Plan, or a FEORP Plan, as one in a series and grade in an under-represented category, then race, sex or national origin may be considered as one factor in the selection process, but not the sole or deciding factor. Any consideration of race, sex, or national origin must be a part of the selecting official's total evaluation process and not be a tie breaker or points add-on. When the condition of a under-representation is corrected, race, sex, or ethnic-conscious selection will be stopped immediately.

g. Management at its discretion may decide not to fill a vacancy even after receiving a properly developed Referral and Selection Register. If the decision is made to not fill a position after receiving a "full" selection register, i.e., at least three available best-qualified candidates, the register will be returned to the Personnel Office with comprehensive justification and written concurrence from a higher management level. The Personnel Officer will review the documentation and determine if the failure to make a selection is supportable on merit grounds. If not supportable, the position will be abolished for a period of no less than six months, unless an exception is approved by the District or Activity Commander. In no instances will selections be deferred or delayed solely to circumvent the requirements of this Plan, the Federal Merit Promotion Program, or the DOD Stability of Employment Program. All Referral and Selection Registers will be issued with an expiration date of from five to ten workdays from date of issue, depending on the individual situation. Justification for extension will be considered.

8-2. Methods.

* a. Although it is highly recommended that the selecting supervisor interview candidates referred for consideration in filling a vacancy, there is no mandatory requirement that a candidate must be interviewed or that all candidates must be interviewed if one candidate is interviewed. If interviews are deemed necessary, under no circumstances will failure to travel for the purpose of an interview be used as a basis to non-select a candidate. Candidates from outside the commuting area who are not available for an on-site interview, may be interviewed by telephone or asked to submit a supplemental written questionnaire or supplemental material. NOTE: Selecting officials may use the method outlined in paragraph "b" below to limit number of candidates referred to the selecting official for consideration/selection. *

b. Selecting officials may seek the advice or recommendations of their subordinate supervisors or other employees at or above the level of the position to be filled, and may use such techniques as a structured panel interview or evaluation panel (selection advisory group) (subject to paragraph (1-3c clearance). Such a technique may be used to recommend a smaller number of candidates than referred on the Referral and Selection Register to the selecting official for his/her consideration in making a selection. The selecting official, however, may not delegate selection authority and must make the final selection based solely on his/her judgment of merit factors. (NOTE: If a selection advisory group is used, the proceedings of such a group, including the methods and factors used by the group and the names and titles of the members of the advisory group, will be furnished by the selection official with his/her signature of concurrence to the Personnel Office for placement in the permanent placement case file.

c. Selecting officials will not give written, performance, or job knowledge tests to assist in making selections, since job-related tests must be included in the candidate's evaluation process if they are used (see Chapter 6 of this Plan).

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CHAPTER 9. RELEASE OF SELECTED EMPLOYEES

9-1. General. When selection will result in relocation of the candidate within or between organizations covered by this Plan, arrangements for a release date will be made by the servicing Personnel Office in coordination with the supervisory officials concerned. Employees covered by this Plan normally will be released to report to their new position no later than the beginning of the second pay period following notification of selection by the Personnel Office. Any proposed deviations from this practice will be worked out between the supervisors involved. In no case will release of an employee of this installation be accomplished later than thirty days after final selection.

9-2. Notification. The Personnel Office will notify the successful candidate and his/her supervisor as soon as possible after receipt of the Referral and Selection Register from the selecting official. Since selection is "final," once all decisions within management's discretion authority have been made and only administrative actions remain to be completed, the Personnel Office will make this notification following receipt of the completed Register. Notifications to the unsuccessful candidates will be issued as soon as an acceptance is received from the successful candidate.

9-3. Meeting Requirements.

a. The servicing Personnel Office will be responsible for assuring that all legal and regulatory requirements are met before a promotion action is effected.

b. Applicants who will not meet the time-in-grade requirements for the grade level of the vacancy within 30 days after the closing date of the announcement, will be considered ineligible for the position.

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CHAPTER 10. PLACEMENT RECORDS/REVIEW/CORRECTIVE ACTIONS

10-1. Records. Placement records will be subject to review by internal evaluation methods and by higher authority, including the U. S. Office of Personnel Management. Records required by this Plan and other applicable regulations will be used to document fully all placement actions and will be maintained for at least two years. The records will be used for such purposes as (a) evaluating the placement programs, (b) providing assurance and evidence that placement actions are being made in accordance with established merit principles and procedures, and (c) responding to questions about the placement program or specific actions. Accurately recorded documentation becomes especially critical when noncompetitive actions have occurred. Standard Form 52 will identify the vacancy announcement number for competitive placement actions, will cite the specific reference from this publication, and will summarize justification for all noncompetitive actions.

10-2. Placement Records Data. For each competitive action processed under this Plan, the placement records will include the following information:

- a. Identification of the specific position filled, including organizational and geographical location.
- b. Copy of official position description.
- c. Minimum Qualification Standard, including any selective placement factors applied.
- d. Crediting Plan describing the job-related criteria and rating/ranking methods used.
- e. Minimum area of consideration and any extended areas.
- f. Method(s) used to locate eligible candidates, e.g., vacancy announcements or skills file search. Copies of any vacancy announcements or paid advertising materials used will be included.
- g. Description of concurrent consideration sources (if applicable) and consideration of Army voluntary applicants. Copies of any documents, e.g., U. S. Office of Personnel Management certificates verifying concurrent consideration, will be included.
- h. Names of all candidates considered.

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i. Qualifications determinations on each candidate, including copies of information used, e.g., supervisory appraisals, test scores, etc., in making determinations.

j. Identification by name; position title, series, and grade; and organizational location of persons involved in the evaluating of candidate qualifications.

k. Copy of the Referral and Selection Roster (DA Form 2600) furnished to the selecting official, with the employee(s) selected clearly identified.

l. Copy of the completed SF 52 for the vacancy which reflects all required information.

10-3. Reviews. Sufficient documentation will be available within the placement records to provide a clear audit trail and permit a complete reconstruction of any actions. Regular internal regulatory audits will be conducted by the Personnel Office. Scheduled command, DA, or U. S. Office of Personnel Management surveys as well as individual complaints/grievances also may lead to review of placement actions.

10-4. Corrective Actions. When violations are identified as a result of any review of placement actions, appropriate corrective action will be taken. When adverse trends are identified, such as a long-term failure to locate, refer, or select available highly-qualified minority or female candidates for certain positions or organizations, all possible actions will be taken to remove any unnecessary or non-job related barriers.

a. Immediate action should be taken to correct a violation since a number of individuals may have been involved, including the employee erroneously placed, employees not properly considered because of the violation, and/or management officials sanctioning the action. Correction of program deficiencies also may be in order. The nature and extent of actions to be taken must be determined on the basis of all the established facts in the case. Regard must also be given to the circumstances surrounding the violation, the ethical and legal rights of those concerned, and the best interests of the Government.

b. Installation officials have the responsibility for insuring that violations do not occur either by error or design. If an official permits a violation to occur, the circumstances surrounding the violation will determine what action should be taken against him/her. Factors to be considered include the severity of the violation, the motive for the violation, and repetition of the violation. Corrective action

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taken may include reprimand, withdrawal of selection authority, suspension, or removal from the position or service. When a violation has been alleged or discovered, the person placed will remain in the position until a determination is made as to what corrective actions should be taken, if any. The types of actions directed against individual officials, whether military or civilian, will be in full accordance with applicable personnel regulations.

c. Each type of violation, procedural, regulatory, or program, requires corrective action appropriate for that violation.

(1) A procedural violation occurs when a promotion action does not meet the requirements of this Plan. If reconstruction of the action shows that the employee selected could have been selected if proper procedures had been followed or if the jurisdictional office of the U. S. Office of Personnel Management approves, the employee selected may remain in the position.

(2) A regulatory violation occurs when the promoted employee did not satisfy legal and/or regulatory requirements for promotion such as time-in-grade restrictions. The erroneously promoted employee may be retained in the position only if he/she meets all requirements for promotion at the time of corrective action and if the jurisdictional office of the U. S. Office of Personnel Management gives approval.

(3) A program violation occurs if this installation's plan and promotion guidelines or practices do not conform to U. S. Office of Personnel Management or higher level requirements. In a program violation an employee generally may be retained in the position if there were no procedural or regulatory violations involved.

d. If the action taken to correct an erroneous promotion is to require that the position be vacated, all employees who were not promoted or given proper consideration because of the violation are to be considered for promotion to the vacated position before candidates under a new promotion or other placement action are considered.

e. If the corrective action did not include vacating the position, employees who were not promoted or given proper consideration because of the violation are to be given priority consideration for the next appropriate vacancy, before candidates under a new promotion or placement action are considered. Employees will be referred on the basis of this special consideration as an exception to competitive promotion procedures. (See para 4-2c(1) for determination of "Next Appropriate Vacancy.")

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f. Prevention remains the most effective corrective action, and this installation will take appropriate measures to prevent placement errors. The Personnel Office, in conjunction with management, employees and unions, will implement a placement follow-up program which provides feedback on a regular and consistent basis about the effectiveness of placement actions. Performance appraisals also will be used as a valuable means of assessing placement effectiveness. Employee and supervisory questionnaires, administered by either higher authorities or this installation, also will serve as effective source of information regarding placement policy and program effectiveness. Employees, managers, supervisors, and union representatives will participate in the regular review and/or revision of this Plan.

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CHAPTER 11. EMPLOYEE COMPLAINTS AND GRIEVANCES

11-1. General Provisions. Management and/or the Personnel Office, as appropriate, will be fully responsive to any employee questions or complaints regarding the general operation of this Merit Placement Program or specific placement actions. Every effort will be made to resolve questions/complaints on an informal basis.

11-2. Grievance Procedures. If a matter cannot be resolved on an informal basis and the employee wishes to pursue it on a formal basis, the complaint will be processed under the Army Grievance System or applicable negotiated grievance procedures as appropriate. Employees may contact their immediate supervisor, their union representative, and the Management Employee Relations Branch in the Personnel Office for further information about grievance procedures.

11-3. Nongrievable Matters. Employee grievances based solely on nonselection from a properly developed roster of best-qualified candidates will not be accepted unless it is claimed that the nonselection was due to discrimination, favoritism, nepotism, or other non-merit factors.

CHAPTER 12. SUPERVISORY POSITIONS

12-1. Significance. Management's effectiveness depends in large measure on the quality of its supervisors. Making the best possible selection for supervisory positions is important. Requirements for successful performance in supervisory positions are somewhat different from the requirements of non-supervisory positions. Due to the importance of supervisory positions and their particular requirements, special procedures have been established for identifying and evaluating persons with supervisory abilities and potential. Standards, methods, and forms outlined in the U.S. Office of Personnel Management Handbook X-118, Part III, "Qualification Standard Supervisory Positions in the General Schedule Occupations (GS-15 and below)" will be followed. Methods outlined in U. S. Office of Personnel Management Handbook X-118C, Job Qualification System for Trades and Labor Occupations, will be used for all Wage Grade supervisory positions (WS).

12-2. Evaluation. The rating and ranking procedures outlined in Chapter 6 will be based on job analysis that take into consideration both supervisory/managerial abilities and technical qualifications where applicable. Previous supervisory experience will not be required for a rating of "highly qualified," except for positions at second or higher supervisory levels in which job analysis has clearly identified demonstrated supervisory ability as a requirement for highly successful performance. All candidates for supervisory positions will be evaluated on their ability to carry out EEO responsibilities. All candidates, including those candidates who are eligible for repromotion priority consideration, will be evaluated by a panel to determine supervisory abilities and potential utilizing forms and methods referred to in paragraph 12-1 and Chapter 6. EXCEPTION: Evaluation by panel is not required of current supervisors/managers or candidates who have previously held supervisory/managerial positions and who have previously completed the one year probation required of supervisors/managers. *

12-3. New First-Line Supervisors. Employees selected as first-line supervisors will enter an important and significantly different role in relation to other employees and to higher management. It is essential that they be given an early understanding of their new responsibilities and duties. All newly selected first-line supervisors will be given at least 40 hours of supervisory training either before they assume their new duties or within three months after assignment. This training will include coverage of supervisor's responsibilities under the local merit placement program.

12-4. Permanent Reassignment. Permanent reassignment to a supervisory position from a nonsupervisory position must be made under the competitive procedures of this Plan, as provided in paragraph 4-1h.

12-5. Temporary Placements. All types of placement actions which fill a supervisory position on a temporary basis by detail or temporary promotion must be accomplished in accordance with applicable portions of this Plan (see paragraph 4-1c and Appendix B).

CHAPTER 13. RELATIONS WITH EMPLOYEES AND EMPLOYEE ORGANIZATIONS

13-1. Annual Review of Merit Placement Plan. In September of each year, a general review of the operations of the local merit placement program will be conducted to consider the results of the Personnel Office's audit of completed placement actions and solicit the views and recommendations of employees, employee representatives, and managers. Additionally, this is the time when employees will be reminded of the importance of keeping their personnel records current.

13-2. Information to Employees - General. In addition to this Plan, general information regarding the Federal Merit Promotion Program and the Districts Merit Placement Plan, special announcements, articles and guidance regarding the program will be published whenever there are changes directed by higher authority or when program review shows that more employee information is desirable. Appropriate vacancy announcements also will identify any new material of a general nature. Employees also may request general information of their supervisors, who either will provide all appropriate information or arrange for employees to get it from the Personnel Office.

13-3. Information to Employees - Specific.

a. The following information about specific competitive placement actions will be furnished automatically as soon as possible to each candidate considered under a vacancy announcement:

- (1) Whether the employee was considered for promotion.
- (2) Whether the employee was found to be basically eligible.
- (3) Whether the employee was determined to be "highly qualified."
- (4) Whether the employee was among the best-qualified group from which selection was made.
- (5) Who was selected, by name.

b. Upon request of an employee candidate who was not referred among the best qualified, his/her supervisor may, as necessary, obtain from the Personnel Office information regarding the areas in which the employee needs to improve in order to increase future competitive opportunities.

13-4. Relationship with Employee Organizations. The Personnel Officer has been designated as the commander's representative to consult with

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employees and recognized employee groups and to seek their views regarding this Plan and the operation of this District's Merit Placement Program. The Personnel Officer will assure consultation during regular and unscheduled reviews and at the request of employees and/or their representatives.

13-5. Supervisor Responsibilities.

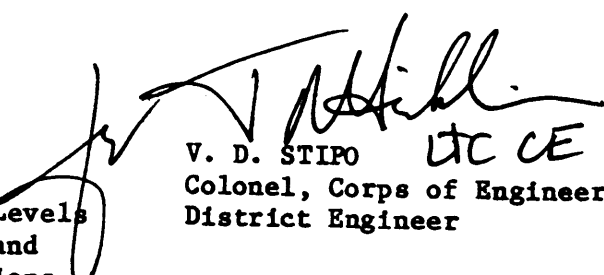
a. Supervisors, with assistance from the Personnel Office staff, will provide information to employees regarding:

- (1) Basic merit system principles and policies.
- (2) The procedures outlined in this Plan.
- (3) Specific short- and long-range promotional opportunities available.
- (4) How to apply for consideration for higher level vacancies.
- (5) What to do to improve one's chances for promotion.

b. This counseling will be accomplished at least once annually, during performance appraisal discussions, and more often on an individual basis as appropriate. Supervisors will inform employees that information about promotional and career development opportunities is to be publicized by vacancy announcements. Supervisors will advise employees where to find posted vacancy announcements. Supervisors also will offer to file applications for their employees upon written request when the employees are absent in an official capacity. Employees should be counseled regarding the limitations of this Merit Promotion and Internal Placement Plan since it does not guarantee a promotion for every employee but does assure all employees fair and equitable opportunity for consideration.

5 Appendices

- APP A - Career Management
Mandatory Referral Levels
APP B - Competitive Details and
Temporary Promotions
APP C - Order of Placement Considerations
APP D - Career Promotions
APP E - Candidate Evaluation Procedures


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Colonel, Corps of Engineers
District Engineer

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- Figure 1 - MRD FORM 0931, Job Analysis Interview
- Figure 2 - MRD FORM 0939, KSA Determination Sheet
- Figure 3 - MRD FORM 0932, KSA Definition Sheet
- Figure 4 - MRD FORM 0932, Sample Tasks
- Figure 5 - MRD FORM 0932, Sample General Level Definitions
- Figure 6 - MRD FORM 0935, Supervisory Appraisal of KSA's and
Transmittal Sheet
- Figure 7 - MRD FORM 0936, Task Level Questionnaire and Transmittal
Sheet
- Figure 8 - MRD FORM 0934, Candidate Supplemental Questionnaire
- Figure 9 - MRD FORM 0937, Structural Interview Form
- Figure 10 - MRD FORM 0933, Internal Merit Staffing Ranking Sheet
- Figure 11 - MRD FORM 0938, Selection Interview Form

DISTRIBUTION:

A (S)

B (S)

E (S)

MRD - A (S)

MROPO-R - 500 cys

APPENDIX A

CAREER MANAGEMENT MANDATORY REFERRAL LEVELS*

<u>CAREER PROGRAM</u>	<u>REGULATION</u>	<u>SERIES INCLUDED</u>	<u>REFERRAL LEVEL</u>			
			<u>DoD</u>	<u>DA</u>	<u>OCE**</u>	<u>MRD</u>
Civilian Pers	CPR 950-10	201 212 221 223 230 235		GS-13	GS-12	
Compt/Finc Mgmt	CPR 950-11	343 345 501 504 505 510 560		GS-13	GS-12	
Safety Mgmt	CPR 950-12	018 803 1820		GS-13	GS-11	
Supply Mgmt	CPR 950-13	2001 2003 2010 2030 2032 2050		GS-13	GS-12	
Procurement	DoD 1430.10	1101 1102 1103 1150	GS-13	N/A	GS-12	
Qual & Reliability Assurance	DoD 1430.10	1910 1960	GS-14	GS-13	GS-12	
Educ & Trng	CPR 950-16	1701 1710 1712		GS-12	GS-11	
Mat Maint Mgmt	CPR 950-17	301 340 802 856 895 1101 1152 1601		GS-13	GS-12	
Engrs & Sci	CPR 950-18	020 023 025 101 110 150 184 401 430 450 460 470 471 480 482 486 801 804 806 807 808 810 819 830 850 871 880 881 1301 1315 1330 1350 1360 1370 1372 1373		N/A	GS-14	GS-13
Intelligence	CPR 950-19	080 132 1810		GS-13	GS-12	

*Subject to change by notification from higher headquarters.

**For Serviced Organizations, this column is applicable to their MACOMs.

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	<u>CAREER PROGRAM</u>	<u>REGULATION</u>	<u>SERIES INCLUDED</u>	<u>DoD</u>	<u>REFERRAL LEVEL</u>		
					<u>DA</u>	<u>OCE**</u>	<u>MRD</u>
	Ammunition Insp (Surv)	CPR 950-20	1948		All	N/A	
	Librarians	CPR 950-21	1410		GS-11	GS-09	
	Info & Edit	CPR 950-22	1071 1081 1082 1083 1084		GS-12	GS-11	
*	ADP	CPR 950-23	330 332 334		GS-13	GS-12	
	Transportation	CPR 950-24	2130 2150 2161		GS-13	GS-12	
	Communications	CPR 950-25	391 393		GS-12	N/A***	
	Mnpr/Frc Mgmt	CPR 950-26	343 345 896		GS-12	N/A***	
	Housing Mgmt	HQDA Ltr 690-75-16	1173		GS-11	N/A***	
*	EEO	CPR 950-28	0260		GS-12	N/A***	
	Records Mgmt	HQDA Ltr 690-77-39	343 334		GS-12	N/A***	
	Real Estate	ER 690-1-955	1170 1171		N/A	GS-14	

***Effective 15 February 1978, vacancies below DA Referral Level will be filled by Merit Promotion Procedures.

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APPENDIX B

COMPETITIVE DETAILS AND TEMPORARY PROMOTIONS

B-1. Details of more than 120 days to a higher grade position or position with known promotion potential and temporary promotions of more than 120 days will be accomplished under the competitive procedures of this Plan. These requirements will not be circumvented by a series of short-term temporary assignments. Competitive procedures therefore also will apply if, after completing any proposed detail/temporary promotion, an employee will have exceeded the maximum periods allowable (prior service under both previous details and temporary promotions included) in higher grade positions or positions with known promotion potential during the previous 12-month period.

B-2. In cases of operational necessity only, the area of consideration for competitive detail/temporary promotion may be narrower than for permanent placement. Justification for use of a narrowed area will be documented fully in placement records by the servicing Personnel Office.

B-3. If the area of consideration for a competitive detail/temporary promotion was narrower than required for normal permanent placement, full competitive procedures will apply when the position later is filled on a permanent basis.

B-4. Temporary assignment to higher grade positions will be accomplished by a temporary promotion when:

a. The need for a temporary replacement is expected to last more than 30 days.

b. There are no immediately available Priority Placement Candidates in Category 1, 2 or 3 willing to accept temporary placement.

c. The selectee will be required to fully assume the grade controlling duties and responsibilities of the higher grade position. A management official over the vacancy must certify in writing that the temporary assignee will assume the full scope of the grade controlling duties and thereby warrant pay at the higher grade level.

d. The employee meets the minimum USOPM qualification standards for the position.

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B-5. All individuals to be temporarily promoted either competitively or noncompetitively will be advised in advance of the temporary nature of the action and all conditions relating to it, including the expected duration. Also, it will be made clear that management, at its discretion, may terminate a temporary promotion at any time sooner than the expected termination date.

B-6. Temporary promotions will not be used for training or job-try-out purposes.

B-7. Temporary promotions do not confer later eligibility for special repromotion consideration.

APPENDIX C

ORDER OF PLACEMENT CONSIDERATIONS

(NOTE: The following list of types of placement actions and/or placement consideration that must precede competitive consideration under this Plan gives the normal order of priority by type of action. In many cases, there are special exceptions provided in the governing USCSC, DOD, or Army regulation which can change the order. In no case, however, can competition under this Plan be higher than is indicated below (number 9). Career promotions (para 4-2d) are not included above since the positions involved are already incumbered, are being filled noncompetitively and therefore do not constitute bona fide vacancies subject to the placement considerations above.)

- C-1. Statutory/regulatory/mandatory placements directed by higher authority.
- C-2. Certain noncompetitive reassignments directed by local management which are permitted under DOD Stability of Civilian Employment Program.
- C-3. Special consideration entitlement for repromotion.
- C-4. Special consideration after failure to receive proper consideration.
- C-5. Certain reassignments permitted under DOD Program for Stability of Civilian Employment. (Reference para V.H., Chap 3, DOD Manual 1400.20-1-m)
- C-6. Priority consideration of Priority 1, 2 and 3 registrants in DOD and USCSC Priority Placement Programs.
- C-7. Competitive placement actions not requiring concurrent consideration under this Plan.
- C-8. Priority consideration of Priority 4 and 5 registrants in Priority Placement Programs.
- C-9. Other competitive actions.

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APPENDIX D

CAREER PROMOTIONS

D-1. Policy. Paragraph D-2 describes the types of situations in which promotion can be made without competition because competition took place at an earlier stage and included evaluation of qualifications (potential) for the target level. It must have been made known to prospective candidates that the position was intended to prepare the incumbent for higher level work and provided promotion possibility.

a. Each career promotion to a successively higher grade level will be made only after verification that the incumbent meets legal and minimum qualification requirements for the higher level.

b. If the minimum time frame established for advancement to the next higher level in the career ladder has passed and the incumbent has not yet demonstrated possession of the level of KSA that will assure superior performance at the higher grade level, the supervisor, the employee, the employee's representative (if requested by the employee), and a representative of the Personnel Office will discuss appropriate action to be taken. (For example, this could include extension of the current developmental phase to allow the employee to develop the necessary level of ability needed with a further re-evaluation made at the conclusion of the extension.)

c. If it is determined that the employee cannot achieve the level of qualification needed for performance at the higher level or if the employee should ask to be reassigned at any time, appropriate action will be taken to place the employee in another position.

d. The justification for use of any of the authorized career promotions will be documented fully on the SF 52.

D-2. Types of Career Promotions.

a. Career Ladder Positions. Successive promotions may be made until an employee reaches the full performance level of a position, provided:

(1) All entry into the career ladder was made competitively and met all requirements for placement on a "position with known promotion potential."

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(2) All employees in like positions in an organization group are given grade building experience.

(3) All have the same opportunity for promotion as they demonstrate ability to perform at the next higher level.

(4) There must be enough work at the full performance level for all employees in this group.

(5) Beyond the full performance level, promotions must be competitive.

b. Apprentice Position. Career promotions may be made of an apprentice in a recognized trade or craft through the various phases of the apprentice program, up to and including assignment to a journeyman position. The conditions of a (1) through (5) above apply.

c. Training Position. Career promotion may be made of an employee in a trainee position upon satisfactory completion of the required training and achievement of the required level of qualification. A trainee assignment, such as one filled under the local Upward Mobility Program, is one involving a well-defined training program of a definite duration (which may include both on-the-job and classroom training), and the performance of assigned tasks on a rotating or non-rotating basis, under close guidance and instruction, with promotion scheduled upon satisfactory completion of the training phase. (A trainee who does not satisfactorily complete the training period is reassigned to a different line of work or otherwise removed from the position.) The provisions of a (1) through (5) above apply.

d. Understudy Position. Career promotion of an understudy to the target position may be made when the position becomes vacant, provided the employee has demonstrated the qualification levels indicating potential for superior performance. An understudy is one who was competitively selected for the purpose of being trained to assume the duties of a position scheduled to be vacated by the current incumbent in a definite period of time, normally one year or less. If the employee is not promoted, he/she must be removed from the understudy position by appropriate adverse action.

e. Position Filled Below Established or Anticipated Grade (Lead-in Position). A career promotion may be given an employee in a position that was filled at a grade below the established or anticipated grade. Reasons for filling the job at a grade below that established for the position may include trying out a candidate, awaiting approval of higher

headquarters for a manpower authorization, or this installation's program to re-engineer vacant positions to lower grade levels in furtherance of position management objectives. The provisions of paragraph d apply.

f. Employees Under a USOPM Training or Executive Development Agreement. Employees who have entered into a training situation under a USOPM approved training agreement or executive development agreement may be given a career promotion upon satisfactorily completing the training, if the agreement specifically provides for the promotion. The provisions of paragraph d apply.

g. Employee Detailed for Training or Evaluation. Career promotion may be made of an employee detailed to a higher grade position or position with known promotion potential for the purpose of training or evaluation. The detail, however, must have been accomplished under full competitive procedures, including use of the normal area of consideration for permanent promotion, and the possibility of later promotion was made known to all potential competitors. The provisions of paragraph d apply.

D-3. Career Promotion. A noncompetitive career promotion of an employee whose position has been reclassified to a higher grade or to a position with a higher representative rate because of the addition of duties and responsibilities may be made when it is determined that open competition is not warranted. All of the following circumstances must be met in order to except the promotion from competitive procedures:

a. There are no other employees at the same grade in the unit supervised by the selection official who are performing duties substantially the same as those performed by the employee prior to addition of the new duties and responsibilities;

b. the employee continues to perform the same basic function(s) as were in the former position and the duties of the former position are administratively absorbed into the new position;

c. the addition of the duties and responsibilities does not result in an adverse impact on another incumbered position, such as abolishing the position or reducing the known promotion potential of another position; and

d. the employee meets all qualification requirements for the position.

* D-4. An employee who is appointed under an excepted appointing authority or other appointing authority which provides for non-competitive conversion to career promotion either prior to or after conversion to career or career-conditional provided the position was established with a higher target grade. (Para 4-2)

*

ATTACHMENT TO APPENDIX D

RECOGNIZED CAREER LADDERS

1. GENERAL. This attachment lists all the recognized "career ladders" for this activity and serviced activities. A promotion may not be made noncompetitively under the career promotions provision of paragraph 4-2d(1) (a) unless it is within a career ladder described in this appendix or the promotion potential was clearly stated in the original vacancy announcement. Managers and supervisors will assure that all employees in their activity who are serving in positions in series and grade ranges listed in paragraph 2 below, understand that the highest grade listed under "Grade Span" is the maximum grade to which promotion can be made under the career ladder provisions of this Plan. It must also be understood that a promotion is not guaranteed to any one at any time simply because of serving in any of the listed series and grade. NOTE: Grade span reflects highest and lowest range for any given series in relation to organizational restrictions or recognized work load factors. Any progression beyond the maximum grade listed will be on a competitive basis.

2. CAREER LADDERS. Following are the recognized "career ladders":

TITLE	SERIES	GRADE SPAN	NORMAL PROGRESSION	
			1 grade Interval	2 grade Interval
1. <u>CIVILIAN PERSONNEL ADMINISTRATION</u>				
Personnel Management	0201	5-11		X
Personnel Staffing	0212	5-11		X
Position Classification	0221	5-11		X
Labor-Management and Employee Relations	0230	5-11		X
Employee Development	0235	5-11		X
2. <u>COMPTROLLER FUNCTIONAL AREA</u>				
Management Analyst (except when Manpower Management is the primary duty)	0343	5-11		X
General Accounting and Administration	0501	5-11		X
Accounting	0510	5-9		X
Auditor	0510	5-11		X
Voucher Examiner	0540	3-5	X	

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TITLE	SERIES	GRADE SPAN	NORMAL PROGRESSION	
			1 grade Interval	2 grade Interval
Payroll Clerk	0544	3-5	X	
Budget Administration	0560	5-11		X
Cost Analysis	Any	5-11	X	
3. <u>SAFETY MANAGEMENT</u>				
Safety Officer	0018	5-11		X
Safety Engineer	0803	5-11		X
4. <u>SUPPLY MANAGEMENT</u>				
Positions with duties pertaining especially to supply or would be encompassed in the DA Supply Career Field	Any	5-11	X	X
5. <u>PROCUREMENT</u>				
Contract and Procurement	1102	5-9		X
Positions with 50 percent or more of the duties and responsibilities involving either preaward or post- award contracting and purchasing functions	Any	5-9	X	X
6. <u>EDUCATION AND TRAINING</u>				
Education and Vocational Training Series	1710	5-11		X
7. <u>MATERIAL MAINTENANCE MANAGEMENT</u>				
Equipment Specialist	1670	5-9		X
8. <u>ENGINEERS AND SCIENTISTS</u>				
Community Planner	0020	5-11		X
Outdoor Recreation Planning	0023	5-11		X
Park Management/Ranger	0025	5-9		X
Economics	0110	5-11		X
Geography	0150	5-11		X
Sociology	0184	5-11		X

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TITLE	SERIES	GRADE SPAN	NORMAL PROGRESSION	
			1 grade Interval	2 grade Interval
Biology	0401	5-11		X
Ecology	0408	5-11		X
Botany	0430	5-11		X
Forestry	0460	5-11		X
Fish and Wildlife Administration	0480	5-11		X
General Engineering	0801	5-11		X
Materials Engineering	0806	5-11		X
Landscape Architecture	0807	5-11		X
Architecture	0808	5-11		X
Civil Engineering	0810	5-11		X
Sanitary Engineering	0819	5-11		X
Mechanical Engineering	0830	5-11		X
Electrical Engineering	0850	5-11		X
General Physical Science	1301	5-11		X
Hydrology	1315	5-11		X
Chemistry	1320	5-11		X
Geology	1350	5-11		X
Mathematics	1520	5-11		X
Statistics	1530	5-11		X
9. <u>INTELLIGENCE</u>				
Security Administration Series	0080	5-11		X
10. <u>INFORMATION AND EDITORIAL FUNCTIONAL AREA</u>				
Public Information	1081	5-11		X
Writing and Editing	1082	5-11		X
Technical Writing and Editing	1083	5-11		X
Visual Information	1084	5-9		X
11. <u>AUTOMATIC DATA PROCESSING</u>				
Computer Systems Specialist Series which includes:	0334	5-11		X
Computer Programmer				
Computer Systems Analyst				
Computer Specialist				

TITLE	SERIES	GRADE SPAN	NORMAL PROGRESSION	
			1 grade Interval	2 grade Interval
12. <u>MANPOWER AND FORCE MANAGEMENT</u>				
Management Analyst (see Area 2, above)	0343	5-9		X
Program Analyst (see Area 2, above)	0345	5-9		X
NOTE: Positions in other series are included when more than 50% of the primary duties involve manpower and force management. These do not include Technician and clerical functions				
13. <u>EQUAL EMPLOYMENT OPPORTUNITY</u>				
* Equal Opportunity Specialist	0260	5-11		X *
14. <u>REAL ESTATE ADMINISTRATION</u>				
Realty Specialists	1170	5-11		X
Appraisers	1171	5-11		X
15. <u>OTHER POSITIONS</u> (Providing FPM Chapter 335.4-2 requirements are met)				
Personnel Clerk/Assistant	0203	3-5	X	
Military Personnel Clerk	0204	3-5	X	
Mail and File Clerk	0305	2-3	X	
Clerk Stenographer	0312	3-5	X	
Clerk Dictating Machine Transcriber	0316	3-4	X	
Secretary/Typing and/or Steno	0318	3-6	X	
Clerk Typist	0322	2-4	X	
Computer Operator	0332	4-7	X	
Computer Aid/Technician	0335	3-5	X	
Management Clerk/Assistant	0344	4-7	X	
Data Transcriber	0356	2-4	X	
Park Aid/Technician	0404	3-7	X	
Budget Clerk	0501	4-5	X	
Accounting Technician	0525	4-6	X	

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TITLE	SERIES	GRADE SPAN	NORMAL PROGRESSION	
			1 grade Interval	2 grade Interval
Accounts Maintenance Clerk	0525	3-4	X	
Engineering Aid/Technician	0802	2-11	X	
Surveying Aid/Technician	0817	3-7	X	
Engineering Draftsman	0818	2-6	X	
Construction Inspectors/Rep	0809	4-11	X	
Attorneys	0905	9-11		X
Procurement Clerk/Assistant	1106	3-7	X	
Cartographic Aid/Assistant	1371	3-7	X	
Library Aid/Technician	1411	3-6	X	
Supply Clerk	2005	3-5	X	

APPENDIX E

CANDIDATE EVALUATION PROCEDURES

This Appendix establishes procedures for analyzing a job to identify the essential knowledges, skills, and abilities which must be used to rate candidates for specific vacancy. Also included are procedures for selecting, developing, and utilizing appropriate measurement tools and information sources to rate candidates' possession of the identified knowledges, skills, and abilities. For ready reference, the following list of words and/or terms are defined to assist in understanding the procedural aspects of the Appendix. Additionally, the definitions are arranged alphabetically within each step which correspond to the steps set forth in the remainder of the Appendix:

SECTION I - DEFINITIONS

1. STEP I.

a. Distinguishing KSA's - knowledges, skills, and abilities that differentiate superior from barely acceptable candidates.

b. Essential KSA's - knowledges, skills, and abilities that a candidate must possess to perform the job in a reasonable period of time.

c. General Duty Statement - narrative statement of a major, significant function of the job.

d. Selective Placement Factor - a knowledge, skill, or ability that a candidate must possess to a minimum degree to perform the job in a reasonable period of time but is inappropriate to be utilized as a rating factor. (See non-distinguishing KSA.)

e. Job Analysis for Selection - systematic, documented review of the job to be filled to determine what knowledges, skills, and/or abilities the worker must bring to the job to perform in a reasonable period of time.

f. Job Analysis Interview Panel - a group of individuals (see Subject Matter Experts below) with a thorough knowledge of the duties and responsibilities of a job, who are gathered to identify the knowledges, skills, and abilities necessary to perform the job.

g. Non-distinguishing KSA's - knowledges, skills, and abilities that do not differentiate superior from barely acceptable candidates.

h. Subject Matter Experts (SME's) - a group of persons thoroughly knowledgeable about the duties and responsibilities of the job.

i. Task - an action performed under some guidance to an object for a purpose. Groups of related tasks generally constitute a duty.

2. STEP II.

* a. Candidate Supplemental Questionnaire - a form or separate sheets of paper completed by the candidate to supplement application form to provide all job-related background (experience, education, training, awards, volunteer work, outside activities) as it relates to each specific KSA identified for the position. This form/information is provided at the option of the candidate. The SF-171 or other appropriate application forms will be used to determine the information if the candidate elects not to provide the additional information. *

b. Benchmarks - tasks that provide a point of reference for crediting training and experience at the outstanding, superior, satisfactory, or barely acceptable level.

c. Composite Task Statement - Collective listing of the examples of actions representing levels of possession gathered during the SME panel.

d. Crediting Plan - a system used to document the results of a variety of measurement tools for rating candidates against the required knowledges, skills, and abilities.

e. Demonstrated Exposure - tasks performed that would indicate possession of required knowledges, skills, and abilities.

f. General Level Definitions - statements of the overall actions, objects, purposes, and guidelines represented in the sample benchmark tasks to clearly define the progression of complexity between levels of possession.

g. Information Sources - methods used to gather data on which ratings are based.

h. Interpersonal Traits - knowledges, skills, and abilities involving oral interaction with other individual(s).

i. Level of Performance - measure of "how well" a candidate performs tasks that demonstrate the required knowledges, skills, and abilities.

j. Level of Possession - degree of complexity and responsibility of candidate's actual exposure to required knowledges, skills, and abilities.

k. Measurement Tools - systematic methods of measuring a candidate's possession of required knowledges, skills, and abilities.

1. Structured Interviews - a planned set of oral questions designed to measure an interpersonal trait.

* m. Supervisory Appraisal - the current Supervisory Performance Appraisal to be used in determining whether or not a candidate has a rating of at least fully successful and for review by the selecting official in making a selection. *

* n. Application Forms - SF-171 or other appropriate application forms to determine level of tasks performed in current or previous jobs. *

o. Training and Experience (TRAEX) Rating Guide - a written document used to rate a candidate's previous training and experience in terms of level of exposure to required knowledges, skills, and abilities.

3. STEP III.

a. Creditable Awards - awards that demonstrate possession of required knowledges, skills, and abilities.

b. Point Rating System - combined points awarded for individual knowledges, skills, and abilities to determine the final rating of candidates.

c. Rating Basis - candidates are measured against possession of required knowledges, skills, and abilities.

4. STEP IV. Ranking - by a systematic process each highly qualified candidate is compared with other highly qualified candidates to determine the best qualified group of candidates.

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SECTION II - PROCEDURES

1. STEP 1. ANALYZING THE JOB. Job analysis for selection must concentrate on worker characteristics, but must also involve some documentation as to why the worker characteristics are important. Therefore, a certain amount of job content in terms of duties and responsibilities must be included in the documentation. In this procedure the job content documentation link will be a list of the major duties performed. The remainder of the process will concentrate on worker characteristics or knowledges, skills, and/or abilities (KSA's) that are essential to the performance of the duties within a reasonable period of time after assignment to the position.

a. Preparing for a Job Analysis Interview Panel:

(1) To prepare for a job analysis interview panel, the personnelist should review all available information such as:

(a) X-118 Qualification Standards.

(b) Official position description.

(c) Other appropriate material, e.g., Classification Standards.

(2) From the review of the official position description, identify four to five general duty statements. These statements should represent major, significant duties or aggregations of tasks, i.e., those factors that are determinants of the kind or level of work--the ones that obviously reflect significant requirements. List these in Column 1 of MRD Form 0931, "Job Analysis Interview" (see Figure 1). In Column 2 of MRD Form 0931, list at least one KSA that the personnelist identifies as essential to the performance of each duty statement listed, being certain that all KSA's listed as essential in the X-118 Qualification Standards appear on the form. The following are:

Guides to Identifying, Defining, and Phrasing the KSA's

(a) KNOWLEDGE statements should refer to "an organized body of information usually of a factual or procedural nature, which if applied makes adequate performance on the job possible." (Davis, Lundquist, Lookingbill, O'Leary, McCarthy, 1974)¹

¹ Davis, Clinton P.; Lookingbill, David L.; Lundquist, David G.; McCarthy, Wm. M.; O'Leary, Richard C.; Job Analysis Guidelines. Iowa Merit Employment Department, Des Moines, Iowa, 1974.

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(b) ABILITY statements should refer to "the power to perform an activity at the present time. Also implied is a lack of discernable barriers, either physical or mental, to performing the activity. Care should be exercised not to confuse an ability which is evidenced by the demonstration or performance of some activity or work, with an aptitude which is only a potential for performing an activity. It should be noted that demonstration of an activity does not imply the possession of any corresponding or prerequisite knowledge(s) and aptitude(s) since abilities emerge when aptitude(s) is combined with knowledge(s)." (Davis, et al 1974)

(c) SKILL statements should refer to "the proficient manual, verbal or mental manipulation of data, people or things. The difference between skill and ability is that skill embodies observable, quantifiable, and measurable performance parameters." (Davis, et al 1974)

(d) A KSA should identify one, simple, readily-identifiable characteristic.

(e) KSA statements should begin with "Knowledge of ...," "Skill in (or at) ...," or "Ability to"

(f) Vague qualifiers such as "thorough" knowledge, "basic" knowledge, "considerable" skill, "familiarity with," "demonstrated" ability, etc., decrease rater consistency and should not be used.

(g) Do not use vague terms which indicate a level of performance such as "efficient," "sound," "good," etc. Decisions as to appropriateness and measurability of level of performance will be made later in the process.

(3) When MRD Form 0931 is completed, select a panel of two or three subject matter experts, (SME's), preferable one who is a first level supervisor and one who is an incumbent in the job. Both must have a thorough knowledge of and be at or above the grade level of the position to be filled. Avoid using an employee and his/her supervisor on the same panel.

b. Holding Job Analysis Interview Panel:

(1) The job analysis interview with the SME's is to determine what KSA's they see as essential to job performance. Therefore, most of the time should be spent on the KSA's. The SME's will review the duty statements on MRD Form 0931 for additions or omissions but the primary focus should be on the KSA's.

(2) When an agreement has been reached on the major duty statements (normally four or five), SME's will determine what KSA's are essential

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and need to be brought to the job to perform the duties in a reasonable period of time. Review with the panel the Guides to Identifying, Defining and Phrasing the KSA's. Next add additional KSA's to those already listed in Column 2 of MRD Form 0931 (use an additional MRD Form 0931 if more space is needed). All KSA's must refer directly to the duty statement.

NOTE: Abilities that indicate personal characteristics which cannot be directly referenced to a duty and demonstrated as required to a greater extent than what is generally expected of all employees in all jobs should NOT be included, e.g., "ability to be dependable."

(3) Fewer than 20 KSA's normally will adequately capture the most relevant aspects of the job. When an adequate number of KSA's have been identified, have the SME's transpose the KSA's from MRD Form 0931 to Column 1 of MRD Form 0939 (Figure 2), and independently rank the KSA's in Column 2 of MRD Form 0939. This ranking is done by placing a one "1" by the KSA that is the "most important to bring to the job to perform in a reasonable period of time." Continue this procedure until all KSA's are ranked. For example, if there are ten KSA's place 1 by the "most important" and 10 by the "least important;" 2 by the "next most important" and 9 by the "next least important"; 3 and 8; 4 and 7; 5 and 6, until all KSA's are ranked.

(4) SME's should discuss the KSA's that they ranked lowest in importance. One low ranking of a KSA does not necessarily indicate that the KSA is not essential. However, if SME's consistently ranked the KSA low on their lists, it should be reexamined to determine whether an applicant who does not possess the KSA could achieve acceptable job performance within a reasonable period of time.

(5) SME's should discuss whether other KSA's are essential to performance of the job and how long it would take to train someone who lacked the KSA's. Those KSA's that are determined to be non-essential or that could be acquired in a reasonable period of time should be indicated by placing the word "No" in Column 3 of MRD Form 0939.

(6) The remaining KSA's should be reviewed for repetition. Those KSA's that are basically the same should be combined and reworded as necessary. Also, KSA's that are prerequisites of other essential KSA's should be combined. For example, if "ability to follow written instructions" and "ability to interpret regulatory material" were both essential, the first ability could be assumed if the second were possessed to a barely acceptable level. Therefore, the first ability could be combined into the second. Normally six to ten KSA's will remain. Indicate the combination of any KSA's in Column 4 of MRD form 0939.

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(7) Before further information related to the KSA's is collected from SME's, a decision must be made to determine whether or not the KSA's distinguish superior candidates from barely acceptable or satisfactory candidates. KSA's that do not distinguish a superior from a barely acceptable or satisfactory candidate, are worthless rating factors. If a KSA is considered essential but non-distinguishing, it may be used as a selective placement factor but not for rating purposes. It is impossible that an essential KSA will NOT distinguish superior from barely acceptable or satisfactory candidates:

(a) if the KSA is clearly job-related but differences in possession above the minimum are not related to job performance. For example, the speed at which a typist must be able to type does not increase as he/she goes up the career ladder. For entry level positions requiring this KSA, it would act as a selective placement factor; however, because degree of possession beyond a minimally acceptable level usually is not relevant, the KSA would rarely be appropriate for rating candidates;

"OR"

(b) if the candidates possess the KSA to about the same degree. This may be true when all basically eligible candidates were selected for their current positions because of a high level of possession of the KSA. Differences detected will be meaningless and undependable. For example, all Contact Representatives of the Social Security Administration must have a high level of "ability to organize and express thoughts orally." Therefore, if Contact Representatives made up the major part of the candidate pool for a Supervisory Contact Representative position, this KSA, although certainly job-related, would not distinguish superior from barely acceptable or satisfactory candidates;

"OR"

(c) if the KSA is job-related but differences in possession above the minimum would be something few candidates possess and could be learned within a reasonable period of time, then the KSA may affect the rating disproportionately to its importance to successful performance. Specific knowledges for entry level jobs frequently would have such an effect;

"OR"

(d) if the KSA is clearly job-related but few candidates will possess above the minimum and specific training in the KSA will be provided as part of the job orientation.

(8) Decisions as to whether a KSA distinguishes superior from barely acceptable or satisfactory candidates should be made by the

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personnelist and the panel during the job analysis interview following the panel's decisions on essential and/or combined KSA's. Indicate whether a KSA distinguishes superior from barely acceptable or satisfactory candidates in Column 5 of MRD Form 0939.

2. STEP II. DEVELOPING THE CREDITING PLAN.

a. Selecting the Measurement Tools. There are a variety of possible measurement tools from which the personnelist may select when developing a crediting plan. The following measurement tools are a few examples of those available:

- (1) Training and Experience Rating Guides
- (2) Supervisory Appraisals
- (3) Structured Interviews
- (4) Written Tests
- (5) Performance Tests
- (6) Assessment Centers

NOTE: Due to their limited use, the measurement tools mentioned as 5 and 6 above will not be discussed in these procedures. Number 4 is discussed in more detail in Appendix E, paragraph 2g.

b. For each particular KSA identified as essential, the personnelist must determine the most appropriate measurement tool within available resources. The least expensive of the measurement tools available for use are training and experience rating guides, supervisory appraisals, and structured interviews. As a minimum, training and experience rating guides and supervisory appraisals will be included in the Crediting Plan for every position subject to the provisions of this Merit Promotion and Placement Program. To select the appropriate measurement tool for each KSA, certain factors must be considered. Training and experience rating guides can measure only demonstrated exposure to a KSA. Therefore, they are less appropriate for:

(1) KSA's that are interpersonal traits which can best be measured in a simulated interpersonal situation or a structured interview.

(2) KSA's that require qualitative judgment as to "how well" the candidate demonstrated the KSA's, e.g., "ability to meet deadlines." These KSA's cannot normally be rated without some indicator of level of performance. It might be possible to conclude that a candidate has had

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a type of experience which could have provided an opportunity to meet deadlines, but without performance indicators for all candidates based consistently on the same criteria, it is not possible to make a consistent decision about level of possession. These KSA's must be measured by a supervisory appraisal.

c. Usually, KSA's are measured using a combination of (1) level of possession using training and experience rating guides and (2) level of performance using supervisory appraisals. Exceptions are certain interpersonal traits best measured by a structured interview. Based upon available resources and appropriateness of the measurement tools, the personnelist completes Column 6 of MRD Form 0939 by inserting the proper tool(s) to be used to measure each KSA.

d. Developing the training and experience rating guide.

(1) SME's who participated in the Job Analysis Interview Panel will be requested to provide information to define the levels of demonstrated exposure of the KSA's for the training and experience rating guide. All KSA's which have been identified as measurable by a training and experience rating guide must be defined in terms of training and experience examples (tasks) demonstrating possible levels of possession of the KSA's. Usually four levels of possession can be identified: outstanding, superior, satisfactory, and barely acceptable. The defined levels will be assigned points as follows: Outstanding level - 4 points; Superior level - 3 points; Satisfactory level - 2 points; and Barely Acceptable level - 1 point.

NOTE: It is not always possible or desirable to identify four levels of possession for all KSA's. Any number of levels may be defined. For example, if there are only a few eligible candidates or there is inadequate information on the candidates, two levels may be more reasonable than four. Conversely, if a large number of candidates is available, six levels of possession may be desirable. The fewer the levels that are defined the more tie scores will result. The more levels that are defined the more difficult the distinctions between the levels become. Four levels are normally a workable number and will be for all positions subject to this plan.

(2) Distribute to each SME a KSA Definition Sheet, MRD Form 0932, (Figure 3) for each KSA to be rated with a training and experience rating guide. Also, provide each SME with a completed sample KSA Definition Sheet (Figure 4) to demonstrate the results of providing tasks for a specific KSA. Have each SME complete one KSA Definition Sheet for each of the identified KSA's. SME's must provide at least three task examples for each possible level of possession of the KSA's. The SME should give task examples that if performed by a candidate would demonstrate possession of the KSA at each level. The task examples at the outstanding level should demonstrate possession of the KSA equal

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to the degree that the KSA is required for full performance of the duty which was originally established in Column 1 of MRD Form 0931. SME's must avoid using performance indicators, e.g., "sound," "consistent," or "efficient," and/or statements of supervision required, e.g., "close," "independent," or "general." It is important that SME's work independently so that a variety of task examples will be provided at each level of each KSA. Remain with the SME's until all KSA Definition Sheets are completed.

(3) Following adjournment of the Job Analysis Interview Panel, the personnelist will write a guide for rating the training and experience backgrounds of candidates by applying the following procedures:

(a) Combine the tasks provided by the SME's into composite task statements at each level.

(b) Use composite task statements as benchmarks to derive general level definitions by identifying the general action represented in the composite task statement, the general type of guidance for the action.

(4) The general level definition should reflect the progression indicated by the composite task statements at each level. The progression may be defined in terms of the action, the object, the purpose, or the guidelines of the general level definition.

(a) For example, progression through action for the "ability to use regulatory material" could result in the following general level definitions:

Outstanding level: Interprets regulatory material.

Superior level: Researches regulatory material.

Satisfactory level: Applies regulatory material.

Barely Acceptable level: Recognizes regulatory material.

(b) Progression through object for the "ability to communicate in writing" could result in the following:

Outstanding level: Writes technical reports.

Superior level: Writes critiques.

Satisfactory level: Writes letters.

Barely Acceptable level: Writes internal communications.

(c) Progression through purpose for the "ability to schedule work" could result in the following:

Outstanding level: Schedules work to accomplish agency mission.

Superior level: Schedules work to accomplish project goals.

Satisfactory level: Schedules work to accomplish unit objectives.

Barely Acceptable level: Schedules work to accomplish own work objectives.

(d) Progression through guidelines for "ability to plan, organize and schedule work" could result in the following:

Outstanding level: Processes actions to meet project goals.

Superior level: Processes actions to meet given objectives.

Satisfactory level: Processes actions using established precedent.

Barely Acceptable level: processes actions using procedural instructions.

(5) The progression of the general level definition could be any one of the above or any combination of action, object, purpose, or guidelines dependent upon the type of progression indicated in the benchmark task statements. The following is a complete example of the development of general level definitions from composite benchmark task statements for the "ability to apply regulations":

Outstanding level: Processes purchase of bank guaranty participation actions and initiates post-purchase review.

Superior level: Processes routine modification actions such as working deferments, releases insurance proceeds or maintains accounting records.

Satisfactory level: Uses prescribed format to complete reports; processes voucher or purchase voucher or purchase orders.

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Barely Acceptable level:	Files or categorizes regulations. From the composite benchmark task statements above, the following general level definitions would be developed and combined with the benchmark task statements to form a rating guide for the "ability to apply regulations":
Outstanding level:	Interprets regulations from a variety of regulatory material to initiate action (e.g., processes purchase of bank guaranty participation actions and initiates postpurchase review).
Superior level:	Locates regulations from a given set of manuals to process a variety of routine actions (e.g., processes routine modification actions such as working deferments, releases insurance proceeds, or maintains accounting records.).
Satisfactory level:	Applies a limited number of given regulations to complete routine procedural actions (e.g., uses prescribed formats to complete reports; processes voucher or purchase orders).
Barely Acceptable level:	Recognizes content and format of regulatory material to appropriately route or process the regulatory material (e.g., files or categorizes regulations).

Thus, the final training and experience rating guide should include both a general level definition and a composite benchmark task statement for assigning candidate training and experience examples to appropriate rating levels. (See Figure 5 for sample.)

* e. Developing the supervisory appraisal. A supervisory appraisal form directed at the specific KSA's will not be used. The current Supervisory Performance Appraisal may be reviewed as appropriate to determine level of performance on KSA's which can only be measured by a Supervisory Appraisal. *

f. Developing the structured interview. If an interpersonal trait has been identified, the structured interview may be an appropriate measurement tool. To assure complete coverage, a standard set of questions for each KSA must be developed by the personnelist. The questions should be designed to

tap samples of past and/or present behavior, presented in the same order for each interviewee, and directly related to the KSA's. Questions should be designed to be verifiable/factual, specific, and sample actual behavior, for example:

<u>VERIFIABLE/FACTUAL</u>	rather than	<u>UNVERIFIABLE/INTERPRETIVE</u>
How many full time employees did you supervise on you last job?		What aspect of supervision did you find most interesting?
<u>SPECIFIC</u>		<u>GENERAL</u>
What were your grades in quantum physics?		How well did you do in school?
<u>ACTUAL BEHAVIOR</u>		<u>HYPOTHETICAL BEHAVIOR</u>
Describe two strategies that you have used in conducting your previous research in the area of test validation.		What kind of strategy do you think you might use in conducting research in the area of of test validation? ²

g. Using Written Tests. Only those written tests required and/or approved by the U.S. Office of Personnel Management or the Department of the Army will be used. When written tests are used in rating at this installation, scores will be obtained for all candidates. For the "rating" process, test scores will not be used on a pass/fail basis, but will be treated only as one source of information to be considered with others prior to making final rating decisions.

h. Using Information Sources.

(1) Sources for training and experience rating guide.

* (a) Application Forms. The SF 171 or other appropriate application forms will be used by the Personnel Staffing Specialist to determine the level of tasks a candidate has been exposed to in their current or previous jobs. *

* (b) "Candidate Supplemental Questionnaire" (MRD Form 0934). See Appendix E, Section I.2.a. *

* (2) Sources for Supervisory Appraisal. See Chapter 6-4.d.(2), Appendix E, Section I, 2.m. and Appendix E, Section II, 2.e. *

² Huett, Dennis L., Some Tentative Guidelines for Improving the Selection Interview in a Civil Service Setting. Wisconsin State Bureau of Personnel, Wisconsin, 1975.

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(3) Sources for Structured Interview. Structured questions and interview notes should be recorded on MRD Form 0937. (See Figure 9 for a copy of the form.)

3. STEP III. APPLYING THE CREDITING PLAN TO RATE CANDIDATES UTILIZING THE POINT RATING SYSTEM.

a. Training and Experience (TRAEX) Rating.

(1) MRD Form 0933 (Figure 10) will be used to record the rating points for each KSA. The points for training and experience will be assigned by considering all the information provided on MRD FORMS 0934 and 0936 and comparing the level of tasks performed with the credit levels of the training and experience rating guide.

(2) Awards and other employee recognition will be considered at this time in the rating process if they appear to the rater(s) to provide some evidence of possession of a higher level of one or more of the KSA's. If awards result in a higher level of possession of a KSA, the award should be identified in the comments column. Awards cannot be used to increase the level of possession of the KSA beyond a point value of 4.

(3) The following point values will be placed in the TRAEX column: 4 - outstanding; 3 - superior; 2 - satisfactory; and 1 - barely acceptable.

b. Supervisory Appraisal Rating. Using the ratings on MRD Form 0935, record zero through four points in the appraisal column.

c. Combination of Rating Points and Determination of Highly Qualified. The points assigned for the TRAEX column and the appraisal column will be averaged to achieve an overall level measure for each KSA. Highly qualified candidates for General Schedule positions are those whose combined average scores on all the KSA's represent an average of 3 points which is the superior level (e.g., if there are five KSA's, a combined score of 15 or more would be highly qualifying). Once the highly qualified group is identified, KSA's requiring an evaluation interview measurement will be rated. The result of the interview will be scored on the 1-4 point system. The evaluation interview scores of the highly qualified candidates will then be added to the total combined score for the KSA's to arrive at the final rating.

4. STEP IV. RANKING HIGHLY QUALIFIED CANDIDATES TO DETERMINE THE "BEST QUALIFIED GROUP." Final ranking of the highly qualified candidates will be accomplished by either:

a. Identifying any obvious or clear breaks in the total scores of the highly qualified candidates that will serve as a cutoff for the "best qualified"; or

b. Establishing by a predetermined formula, a specified range from the top scoring highly qualified candidate(s), within which all scores will be considered "substantially equal" and among the best qualified. The formula to be used is " $R = \frac{1}{2}E$ "; that is, the range (R) will equal one-half the number of KSA's that are established for the position. (If there are 6 KSA's, the range would be three (3); that is, the best qualified group would include only those candidates who had total scores of 24, 23, and 22 if the top score achieved by any candidate was 24.)

SECTION III - LISTING OF FORMS

MRD FORM 0931, Figure 1	Job Analysis Interview
MRD FORM 0939, Figure 2	KSA Determination Sheet
MRD FORM 0932, Figure 3	KSA Definition Sheet
MRD FORM 0932, Figure 4	Sample Tasks
MRD FORM 0932, Figure 5	Sample General Level Definitions
MRD FORM 0935, Figure 6	Supervisory Appraisal of KSA's and Transmittal Sheet (Rescinded 1 July 1986)
MRD FORM 0936, Figure 7	Task Level Questionnaire and Transmittal Sheet (Rescinded 1 July 1986)
MRD FORM 0934, Figure 8	Candidate Supplemental Questionnaire
MRD FORM 0937, Figure 9	Structural Interview Form
MRD FORM 0933, Figure 10	Internal Merit Staffing Ranking Sheet
MRD FORM 0938, Figure 11	Selection Interview Form

1 Jun 80

JOB TITLE: _____

SIGNATURE: _____

JOB ANALYSIS INTERVIEWCOLUMN 1

A. What are the four or five major functions to be performed on this job?

1. _____

2. _____

3. _____

4. _____

5. _____

COLUMN 2

B. For each function, what KSAs are required to perform this?

1. _____

_____2. _____

_____3. _____

_____4. _____

_____5. _____

_____**SAMPLE**

FIGURE 1

SIGNATURE: _____ DATE: _____

KSA DEFINITION SHEET

KSA Title: _____

Level Descriptions

Examples of outstanding level: _____

Examples of superior level: _____

SAMPLE

Examples of satisfactory level: _____

Examples of barely acceptable level: _____

SHOW KINDS OF EXPERIENCE, TRAINING, AWARDS, APPRAISALS, ETC., THAT WOULD BE INDICATIVE OF THE KSA AT EACH LEVEL.

SIGNATURE: _____ DATE: _____

FIGURE 3

KSA DEFINITION SHEET

KSA Title: Ability to use ADP Procedures.

Level Descriptions

Examples of outstanding level: Prepares job control language cards; recommends corrective action for rejected transactions; charts flow of accounting transactions; recommends changes in codes on transaction documents.

Examples of superior level: Assures all rejected transactions are resubmitted for update; reconciles printout totals and determines the correct ADP programs to obtain desired updating; reconciles error register with other printouts; searches for error cause.

SAMPLE

Examples of satisfactory level: Codes field types, object class, etc., or documents; cross references and uses manuals for appropriate codes; enters transactions into data net through teletype; checks appropriateness of field or object class codes.

Examples of barely acceptable level: Distributes ADP output to proper unit; files ADP output; batches documents for keypunching; recognizes errors in batching; examines coding documents to assure accuracy and completeness of basic identity information.

SHOW KINDS OF EXPERIENCE, TRAINING, AWARDS, APPRAISALS, ETC., THAT WOULD BE INDICATIVE OF THE KSA AT EACH LEVEL.

SIGNATURE: _____ DATE: _____

FIGURE 4

KSA DEFINITION SHEET

KSA Title: Ability to use ADP procedures

Level Descriptions

Examples of outstanding level: Prepares procedural transactions for ADP. (Prepares job control language cards; recommends corrective action for rejected transactions; charts flow of accounting transactions; recommends changes in codes on transaction documents.)

Examples of superior level: Uses ADP output to reconcile and correct actions in non-ADP data. (Assures all rejected transactions are resubmitted for update; reconciles printout totals and determines the correct ADP programs to obtain desired updating; reconciles error register with other printouts; searches for error cause.)

SAMPLE

Examples of satisfactory level: Codes a variety of documents for ADP using given coding systems. Codes field types, object class, etc., or documents; cross references and uses manuals for appropriate codes; enters transactions into data net through teletype; checks appropriateness of field or object class codes.)

Examples of barely acceptable level: Uses basic ADP input or output to accomplish routine clerical tasks. (Distributes ADP output to proper unit; files ADP output; batches documents for keypunching; recognizes errors in batching; examines coding documents to assure accuracy and completeness of basic identity information.)

SHOW KINDS OF EXPERIENCE, TRAINING, AWARDS, APPRAISALS, ETC., THAT WOULD BE INDICATIVE OF THE KSA AT EACH LEVEL.

SIGNATURE: _____ DATE: _____

SUPERVISORY APPRAISAL OF - KSAs
(KNOWLEDGES, SKILLS AND ABILITIES)

DR 690-1-335
1 Jun 80

Name of Candidate:	Appraisal Must Be Returned to R & P Branch, Personnel Office NLT:
Position Applied for - Title, Series, Grade, & Job No.:	Announcement No.:

The information you furnish on this form will be an important element in determining the degree to which the candidate possesses the KSAs required for successful performance in the position identified above. Describe the applicant's CURRENT PERFORMANCE so that the level of possession of the KSAs by the candidate will be clear to evaluation panels.

The following list of KSAs have been identified as required for successful performance in the position identified above. Using the Level Descriptions identified below, assign a numerical rating on a scale of 0 to 4 for each of the KSAs which best describes the candidate's performance.

() 1.	() 6.
() 2.	() 7.
() 3.	() 8.
() 4.	() 9.
() 5.	() 10.

SAMPLE

LEVEL DESCRIPTIONS: Mark each KSA with the number of the statement that best describes your observation of the applicant's performance with respect to that KSA.

- 4. The employee has demonstrated outstanding quality of performance in this KSA.
- 3. The employee has demonstrated superior quality of performance in this KSA, above that of a fully competent employee.
- 2. The employee has demonstrated satisfactory quality of performance in this KSA.
- 1. The employee has demonstrated marginal quality of performance in this KSA.
- 0. The employee has displayed definite weakness in this KSA.
- X. The employee has not been required to demonstrate this KSA while under my supervision.

The signatures of supervisors and employee and their comments (if any) will be made on the reverse side of this page. The supervisor must state the reason for not discussing the rating with the employee, i.e. the employee is on extended leave, travel, etc.

1. IMMEDIATE SUPERVISOR'S COMMENTS

DATE	TYPED NAME, TITLE, & ORGANIZATION	SIGNATURE OF SUPERVISOR
------	-----------------------------------	-------------------------

2. EMPLOYEE COMMENTS

My supervisor's appraisal of the KSAs has been discussed with me and my comments (if any) are as follows:

SAMPLE

DATE	SIGNATURE OF EMPLOYEE
------	-----------------------

3. REVIEWING SUPERVISOR'S COMMENTS

DATE	TYPED NAME, TITLE & ORGANIZATION	SIGNATURE OF REVIEWER
------	----------------------------------	-----------------------

TASK LEVEL QUESTIONNAIRE - KSAs
(KNOWLEDGES, SKILLS AND ABILITIES)

Name of Candidate:	Questionnaire Must Be Returned to R & P Br., Personnel Office NLT:
Position Applied for - Title, Series, Grade, & Job No.:	Announcement No.:

THIS IS NOT A PERFORMANCE APPRAISAL

For each KSA identified below, CHECK the ONE block in each paragraph that is the most descriptive of the TASKS REQUIRED of the candidate in their current position.

KSAs - KNOWLEDGES, SKILLS AND ABILITIES

1.

()

SAMPLE

()

()

()

2.

()

()

()

()

3.

()

()

()

()

SAMPLE

4.

()

()

()

()

SAMPLE

5.

()

()

()

()

IF MORE THAN 5 KSAs ARE IDENTIFIED, USE THE NEXT PAGE FOR ADDITIONAL KSAs, AND SIGN AND DATE THAT PAGE ONLY.

Signature of Supervisor	Title:	Date:
-------------------------	--------	-------

()

()

()

()

SAMPLE

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()

()

()

Signature of Supervisor:

Title:

Date:

CANDIDATE SUPPLEMENTAL QUESTIONNAIRE - KSAs
(KNOWLEDGES, SKILLS AND ABILITIES)

Data Required by the Privacy Act of 1974.

AUTHORITY: 5 US Code of Federal Regulations 335.

PRINCIPAL PURPOSE: Provides management with information as to specific experience and knowledge a candidate possesses that pertains to knowledges, skills, abilities and personal characteristics that are applicable to the position for which candidate has requested consideration.

ROUTINE USES: Information furnished will be used by the Omaha District Personnel Office to determine whether candidate will be placed in the "Best Qualified" group of candidates and referred to supervisor having vacancy. May also be used by Equal Employment Opportunity personnel, grievance and appeal examiners in the event candidate appeals non-placement in "Best Qualified" category.

MANDATORY OR VOLUNTARY DISCLOSURE AND EFFECT OF INDIVIDUAL NOT PROVIDING INFORMATION: This is a voluntary disclosure by candidates who are requesting consideration for vacancies. Failure of the candidate to provide the requested information will eliminate such candidate from consideration.

Name of Candidate:

Questionnaire Must Be Returned to R & P Br.,
Personnel Office NLT:

Position Applied for - Title, Series &
Grade:

Announcement No.:

Name of Supervisor:

Telephone No. of Supervisor:

This form is designed for you to specifically describe the experience and knowledge you have had in the KSAs defined below. Describe accurately, in terms of specific tasks performed, all that reflects your experience and training for each KSA. Avoid using only job titles. Do not attach copies of job descriptions.

Under each identified KSA, give dates the KSA was performed here and when it was performed.

It is your responsibility to assure that all the information relevant to the KSA is described in detail since you will be rated on the information you provide. If it is appropriate to the KSA, include all Federal and nonFederal experience, as well as, relevant volunteer experience and hobbies. Normally, your best examples will be from your work experience.

INFORMATION SUBMITTED MUST BE LEGIBLE.

KSAs - KNOWLEDGES, SKILLS AND ABILITIES

1.

Tasks performed:

In what jobs, where and when, did you perform these tasks?

<u>DATES</u>	<u>JOB TITLE</u>	<u>EMPLOYER</u>
_____ to _____	_____	_____
_____ to _____	_____	_____
_____ to _____	_____	_____

2.

Tasks performed:

In what jobs, where and when, did you perform these tasks?

<u>DATES</u>	<u>JOB TITLE</u>	<u>EMPLOYER</u>
_____ to _____	_____	_____
_____ to _____	_____	_____
_____ to _____	_____	_____

3.

Tasks performed:

In what jobs, where and when, did you perform these tasks?

<u>DATES</u>	<u>JOB TITLE</u>	<u>EMPLOYER</u>
_____ to _____	_____	_____
_____ to _____	_____	_____
_____ to _____	_____	_____

4.

Tasks performed:

In what jobs, where and when, did you perform these tasks?

<u>DATES</u>	<u>JOB TITLE</u>	<u>EMPLOYER</u>
_____ to _____	_____	_____
_____ to _____	_____	_____
_____ to _____	_____	_____

5.

• Tasks performed:

In what jobs, where and when, did you perform these tasks?

<u>DATES</u>	<u>JOB TITLE</u>	<u>EMPLOYER</u>
_____ to _____	_____	_____
_____ to _____	_____	_____
_____ to _____	_____	_____

6.

Tasks performed:

SAMPLE

In what jobs, where and when, did you perform these tasks?

<u>DATES</u>	<u>JOB TITLE</u>	<u>EMPLOYER</u>
_____ to _____	_____	_____
_____ to _____	_____	_____
_____ to _____	_____	_____

Tasks performed:

SAMPLE

In what jobs, where and when, did you perform these tasks?

<u>DATES</u>	<u>JOB TITLE</u>	<u>EMPLOYER</u>
_____ to _____	_____	_____
_____ to _____	_____	_____
_____ to _____	_____	_____

Tasks performed:

In what jobs, where and when, did you perform these tasks?

<u>DATES</u>	<u>JOB TITLE</u>	<u>EMPLOYER</u>
_____ to _____	_____	_____
_____ to _____	_____	_____
_____ to _____	_____	_____

Tasks performed:

In what jobs, where and when, did you perform these tasks?

<u>DATES</u>	<u>JOB TITLE</u>	<u>EMPLOYER</u>
_____ to _____	_____	_____
_____ to _____	_____	_____
_____ to _____	_____	_____
_____	_____	_____
_____	_____	_____

Statements and information concerning your qualifications will be verified against information from your Official Personnel Folder and/or Supervisor.

CERTIFICATION: I certify that all of the statements made in this questionnaire are true, complete, and correct to the best of my knowledge and belief and are made in good faith.

SIGNATURE OF CANDIDATE

DATE

STRUCTURED INTERVIEW

Data Required by the Privacy Act of 1974.

AUTHORITY: 5 US Code of Federal Regulations 335.

PRINCIPAL PURPOSE: Provides management with information as to the personal characteristics that a candidate possesses that are applicable to the position for which candidate has requested consideration.

ROUTINE USES: Conclusions reached by the panel conducting the interview will be used by the Omaha District Personnel Office to help determine whether candidate will be placed in the "Best Qualified" group of candidates and referred to supervisor having vacancy. May also be used by Equal Employment Opportunity personnel, grievance and appeal examiners in the event candidate appeals non-placement in "Best Qualified" category.

MANDATORY OR VOLUNTARY DISCLOSURE AND EFFECT OF INDIVIDUAL NOT PROVIDING INFORMATION: This is a voluntary disclosure by candidates who are requesting consideration for vacancies. Failure of the candidate to provide the requested information to be obtained by the interview may eliminate such candidate from consideration.

SAMPLE
I certify by my signature below that I have read the above Privacy Act Statement. My signature also indicates that I agree to be interviewed for the purpose of helping determine my qualifications for the position for which I have requested consideration.

(Candidate's Signature)

Name of Candidate:

Position Applied For - Title, Series, Grade & Job No.:

Announcement No.:

Name of Supervisor:

Telephone No. of Supervisor:

NOTE: The questions to be asked by the panel will be established in advance of the interview, will be listed on the attached pages, and will be asked in the order listed.

INTERNAL MERIT STAFFING RANKING SHEET

Name of Candidate: _____

Position Applied for: _____
(Title, Series, Grade and Job No.)

Announcement No.: _____

	KSA	TRAEX* Points	Appraisal** Points	Structured*** Interview Points	Average**** Points	Comments
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						
12.						

Total average KSA points_____

Total average KSA points divided by = (This figure must be 3 or above to be considered "highly qualified".)

- * 1, 2, 3, or 4 Based on candidate and supervisory questionnaires.
 ** 1, 2, 3, or 4 Based on supervisory appraisal of candidate.
 *** 1, 2, 3, or 4 Based on Structured Interview.
 **** Mathematical average of TRAEX, Appraisal, and when used, Structured Interview.

SELECTION INTERVIEW

Data Required by the Privacy Act of 1974.

AUTHORITY: 5 US Code of Federal Regulations 335.

PRINCIPAL PURPOSE: Provides the selection panel or selecting supervisor with information as to the personal characteristics that a candidate possesses that are applicable to the position for which candidate has requested consideration.

ROUTINE USES: Conclusions reached by the panel or supervisor conducting the interview will be used by the panel or supervisor to help determine which referred candidate will be selected or recommended for selection.

MANDATORY OR VOLUNTARY DISCLOSURE AND EFFECT OF INDIVIDUAL NOT PROVIDING INFORMATION: This is a voluntary disclosure by candidates who are requesting consideration for vacancies. Failure of the candidate to provide the requested information to be obtained by the interview may eliminate such candidate from consideration.

SAMPLE

I certify by my signature below that I have read the above Privacy Act Statement. My signature also indicates that I agree to be interviewed for the purpose of helping determine my qualifications for the position for which I have requested consideration.

(Candidate's Signature)

Name of Candidate:

Position Applied For - Title, Series, Grade & Job No.: Announcement No.:

Name of Supervisor:

Telephone No. of Supervisor: